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ABSTRACT

Sample procedures, data formats: questionnaires, and explanations are presented that institutions can use to adapt and implement the planning process described in "A Handbook for Institutional and Academic Program Planning: From Idea to Implementation" (Kieft, Armijo, and Bucklew, 1978). Materials are designed for use by two-year and four-year colleges and comprehensive universities. The supplement is organized around the three major steps described in the handbook: (1) conducting a preplanning assessment, (2) formulating planning assumptions and describing the context for planning, and (3) implementation and operation. The questionnaire, data formats, and references to additional sources of information are designed to aid institutions in evaluation of existing planning methods, in assessment of the need for improvement, and other preplanning assessment. Similar materials that institutions can use to describe the environment for which they must plan are included. These materials are designed to aid in conducting studies of internal and external information, developing an education plan, and writing a summary of the planning process. Additional materials include planning calendars, sample planning forms for describing program objectives and activities through which the objectives can be accomplished, and other materials that institutions can use to implement and operate the process. (SW)

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Supplement to the Handbook for Institutional Academic and Program Planning

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Ellen Cherin
Frank Armijo

U.S. DEPARTMENT OF HEALTH,
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Preface

The *Supplement* provides sample procedures, data formats, questionnaires, and explanations that institutions can use to adapt and implement the planning process described in *A Handbook for Institutional and Academic Program Planning: From Idea to Implementation* (Kieft, Armijo, and Bucklew 1978). The *Supplement* contains materials designed for use by two-year and four-year colleges and comprehensive universities. Though major research universities may also find these materials useful, the authors have not addressed planning issues of special concern to those institutions, such as research and publication incentives.

The *Supplement* is the fifth in a series of NCHEMS publications dealing with institutional planning. The first, *Academic Unit Planning and Management* (Miyataki and Byers 1976), offers guidelines for identifying and organizing data about academic-unit functions, availability, and allocation of resources; sources and uses of funds; and planning and assessment of outcomes. The second, *Academic Planning: Four Institutional Case Studies* (Kieft 1978), documents in detail the operation of planning processes used at four representative types of institutions: a community college, an independent liberal-arts college, a comprehensive state university, and a major research university. On the basis of those case studies and other research, NCHEMS then developed *A Handbook for Institutional Academic and Program Planning*. The *Handbook* describes the operation of a comprehensive, systematic planning process that integrates the traditionally disparate activities of planning and budgeting. The fourth volume in the series, *Comprehensive Institutional Planning: Studies in Implementation* (Armijo et al. forthcoming), documents the experiences of a community college, an independent liberal-arts university, and a comprehensive university in adapting and implementing the planning process described in the *Handbook*. The *Supplement* provides supporting materials required for institutions to adapt and implement that process; the materials may prove most useful to staff directly engaged in planning or in collecting and analyzing data to support planning.

The *Supplement* has been reviewed by NCHEMS staff, by Sam Hall, Director of Planning and Research at Willamette University, and by Charles Harrington, Director of Information Systems, and James Bruning, Vice Provost for Planning and Program Development, both at Ohio University. The authors are indebted to those reviewers, as well as to the American Association of Colleges for permission to reproduce forms and explanations from *Trends 2000 Information for Planning: A Handbook for the Academic Administrator* (1979) and to the National Association of College and University Business Officers (NACUBO) for permission to reproduce forms and accompanying explanations from the *College Planning Cycle: People Resources Process, A Practical Guide,* (1975), a revised edition of which is scheduled to be published in December 1979. In addition, the authors would like to thank Ginger Deisher and Mary Sue Waldkirch, for their editorial assistance; Trina Erst and Eileen Western, for typing and administrative support; Lynn Phillips, for typesetting the *Supplement;* and Clara Roberts, for supervising its production.

Introduction

Readers of the *Supplement*, the authors assume, do not need to be convinced of the advantages of comprehensive, systematic planning for colleges and universities. During the past decade, the combination of static or even declining enrollments, persistent inflation, and public skepticism about the value of higher education have rendered such arguments superfluous. In the next decade, it has been predicted that enrollments will continue to decline while costs continue to escalate at a higher rate than anticipated revenues, due to inflation and rising energy prices. To help institutions plan in this era of diminishing resources and little or no enrollment growth, the National Center for Higher Education Management Systems (NCHEMS) in 1978 published *A Handbook for Institutional and Academic Program Planning: From Idea to Implementation* (Kieft, Armijo, and Bucklew).

The *Handbook* is based on the planning experiences of a number of broadly representative institutions, some of which are documented in *Academic Planning: Four Institutional Case Studies* (Kieft 1978). The *Supplement* is a companion volume to the *Handbook* and also to *Comprehensive Institutional Planning: Studies in Implementation* (Armijo et al. forthcoming). The latter documents the experiences of a community college, an independent liberal-arts university, and a state-supported comprehensive university in adapting and implementing a process like that described in the *Handbook*. The following description of the planning process has been excerpted from the *Handbook*.

A Planning Process

Designed primarily for institutions not engaged in extensive research, the *Handbook* is intended to help faculty and staff improve existing academic and program-planning processes or design or implement new ones. It encompasses the entire range of planning concerns, from designing the process and conducting preliminary studies to implementing the process itself. That process is a general one, which can accommodate individual institutional circumstances. In addition, it is *comprehensive, program based,* and *long range.*

The comprehensiveness of the process is evidenced by its consideration of all of an institution's programs: instruction, student service, academic support, administrative service, financial aid, public service, research, auxiliary activities, and development (Kieft, Armijo, Bucklew 1978, p. 3). The process is based on the conviction that "especially when resources are limited, priorities established and judgments made as part of systematic planning must determine budgetary decisions" (p. 3).

The process is program based in that both proposals and decisions are program centered. Such proposals involve initiating, maintaining, improving, reducing, or deleting programs; such decisions concern allocating or reallocating resources. Through the process, resources are channelled to support program objectives and to respond to evaluations of program effectiveness. Systematic planning consists of the basic set of procedures through which an institution can determine its budget and allot its resources to its program commitments.

The process is long range in that it does not merely develop budgets for the coming fiscal cycle (the limited function of many existing planning processes), but formulates plans for as many as five years hence. As a long-range process, it "is designed to both *establish* and *accomplish* program goals as well as establish budgets. The resource-allocation and budgetary decisions that flow from systematic planning are means to predetermined ends, not ends in themselves" (p. 3).

The process has three major steps: (1) conducting a preplanning assessment, (2) describing the context for planning, and (3) implementing and operating the process.

Step 1—Conducting a Preplanning Assessment

The first step in developing a planning process is to assess an institution's need and desire for it. This assessment should be carried out not by institutional planning staff but rather by an ad hoc assessment task force, to ensure a broad base of support for any subsequent planning activities. Kieft, Armijo, and Bucklew (1978) also suggest that

> the task force should comprise the organizational leaders of the institution —deans, vice-presidents, president, chancellor—and leaders of groups of major institutional constituents, such as student and faculty (Kieft 1978). Faculty, moreover, should always be represented on the task force, because many faculty may possess relevant expertise in such areas as management science, information systems, and group behavior. Moreover, involvement of faculty, other major constituents, and organizational leaders in this initial phase will help the task force remain aware of internal political considerations, enhance the credibility of the assessment, and increase commitment to policies developed through planning. [P. 11]

The authors also recommend:

> In its evaluation, the task force should determine how well current planning helps the institution achieve its goals. [P. 11]

The [evaluation] report should conclude with a specific recommendation, on the order of one of the following:

1. Current planning is effective; desired results are being achieved, and no changes are necessary.
2. Current planning is basically adequate, and only limited revision and coordination are needed; existing systems and institutional offices can undertake such changes.
3. Current planning is inadequate; the institution should implement a different planning process that will involve major institutional commitment.

Many colleges and universities will conclude that the second or third options best describe their situation. [Pp. 15-16]

Step 2—Formulating Planning Assumptions and Describing the Context for Planning

Kieft, Armijo, and Bucklew note that numerous factors constitute a context for planning, including

> changes in enrollment and financial aid, faculty-tenure flow, energy costs, social programs, collective bargaining, increased pressures for accountability and cost-effectiveness, social security and retirement laws, communication technology, self-instructional systems, and the roles of the state and federal government in institutional matters . . . In developing a planning process, one may begin by describing the context for planning. [P. 16]

This description can proceed systematically. Like the preplanning-assessment stage, it can be coordinated by a major executive administrator (president, provost, vice-president for planning) whose involvement will increase the likelihood that the context will be described in terms of major institutional policy issues. The *Handbook* warns that

> if left solely to support or planning staff, the description might easily become a mixture of discrete and unrelated facts and technical data. As [in conducting the preplanning assessment], faculty with appropriate expertise should be recruited to produce more accurate, comprehensive, and credible results. [P. 16]

The *Handbook* also suggests three projects that are helpful in this phase of planning:

1. Conducting institutional studies—a series of staff and faculty studies to provide information for planning and formulate a set of assumptions on which planning will be based
2. Developing an education plan—a four- or five-year projection of major directions and goals for the institution

3. Writing a description of the planning process to be implemented—an account of the procedures to guide planning activities [P. 16]

Step 3—Implementation and Operation

After the context for planning has been described, staff can begin implementing the process (Kieft, Armijo, and Bucklew 1978). The planning cycle comprises a multiyear period.

> Every year, detailed plans are formulated for the year *immediately* ahead and less detailed, but nevertheless substantive, plans are formulated for the *subsequent two years*. As the cycle advances, the second year, for which less detailed plans had previously been formulated, will become the year immediately ahead and thus will receive detailed attention. Also at this point, the less detailed plans that were originally formulated for the third year in the cycle may require revision, but detailed planning for that year should be postponed until it becomes the year immediately ahead. Finally, a new third year will be added to the planning period, receiving less detailed attention. [P. 41]

1980-81	1981-82	1982-83	1983-84	1984-85
• Education Plan and supporting set of assumptions are formulated • Individual planning units prepare plans that contain: 1. Detailed proposals for 1981-82 2. Less detailed, but yet substantive, proposals for 1982-83 and 1983-84	• Individual planning units: 1. Revise in more detail proposals for 1982-83, which is now the year 2. Revise the less detailed proposals for 1983-84 3. Add 1984-85 as the third year ahead and forumulate less detailed, but yet substantive, proposals for this year	• Individual planning units: 1. Revise in more detail proposals for 1983-84, which is now the year 2. Revise the less detailed proposals for 1984-85 3. Add 1985-86 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year	• Individual planning units: 1. Revise in more detail proposals for 1984-85, which is now the year 2. Revise the less detaile proposals for 1985-86 3. Add 1986-87 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year	• Education Plan and supporting set of assumptions are revised • Individual planning units: 1. Revise in more detail proposals for 1985-86, which is now the year immediately ahead 2. Revise the less detailed proposals for 1986-87 3. Add 1987-88 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year

Fig. 1. Planning cycle [Adapted from Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: National Center for Higher Education Management Systems, 1978), p. 42.]

Figure 1 illustrates this cycle. As the figure indicates, when plans are formulated during 1980-81, attention to the years 1981-82 will be more detailed; the attention will be less detailed for the years 1982-83 and 1983-84. As plans are formulated during 1981-82, the year 1982-83 will receive more detailed attention, the years 1983-84 and 1984-85, less detailed attention. Every fourth year, the Education Plan and its supporting set of assumptions should be revised; this does not interrupt the annual formulation of plans.

MONTH 1	MONTH 2-MONTH 4	MONTH 5-MONTH 7	MONTH 8-MONTH 10	MONTH 11-MONTH 12
Information for Planning	**Preparation of Program Plans by Individual**	**Review and Critique of Individual Program Plans and Preparation of Organizational-Unit Program Plan**	**Review and Critique of Organizational-Unit Program Plans and Preparation of Institution's Program Plan by Institutionwide Group**	**Review and Approval of Institution's Implementation of Planning Decisions**
1. Enrollment projections	1. Planning unit appoints committee	1. Organizational Unit appoints committee	1. Institutionwide group formed	1. Review of institution's program plan by senate, president, and board of control
2. Faculty-FTE projections	2. Program plan developed	2. Review and critique of planning units' program plans	2. Review and critique of organizational units' program plans	2. Approval and adoption of
3. Staff-FTE projections	a. Program objectives b. Planned activities c. Resources required	3. Program plan developed	3. Institution's program plan developed	3. Implementation of planning decisions:
4. Cost and revenue projections				• Curricular review • Faculty recruitment • Staff recruitment • Personnel action • Policy action • Budget description • Equipment orders • Renovation orders • Supplies order

Fig. 2. Annual Planning Calendar [Adapted from Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: National Center for Higher Education Management Systems, 1978), p. 43.]

During each year of the planning cycle, detailed plans are formulated for the next year according to a 12-month planning calendar, as figure 2 illustrates. During the first month of the calendar, the planning staff gathers the information required for planning (including projections of enrollment, faculty and staff FTE, and costs and revenues). During the second, third, and fourth months, each *individual* planning unit (such as an academic department) prepares its program plan. Each plan should include

1. A set of program objectives for each year of the cycle
2. A priority ranking of the program objectives for the year immediately ahead
3. Activities planned to accomplish objectives
4. Resources required to [support] the activities [P. 46-47]

During the fifth, sixth, and seventh months, the different *organizational* units (such as a division, school, or college) within an institution determine how well the proposals developed by the *individual* planning units will help them accomplish the Education Plan. In determining this, each organizational unit appoints a program-planning committee, in accordance with its governing procedures. The committee, which represents the individual planning units that constitute the organizational unit, should

1. Review and critique each planning unit's program plan
2. Develop and recommend a program plan for the organizational unit to follow during the next three years
3. Act as the liaison for planning between the organizational unit and all other planning units and activities

Kieft, Armijo, and Bucklew recommend that the chairperson of the committee be the administrative officer (dean, director, vice-president) responsible for the organizational unit.

The program plans developed by different organizational units are reviewed (and, where appropriate, revised) by an institutionwide group during the eighth, ninth, and tenth months. The form of this review will depend on the governance structure of the institution. Most likely it will be "performed either by a group representing faculty, students, and administrators; a group of executive administrators responsible for academic affairs, student affairs, public affairs, administration and support, finance, and development; or a combination of the two groups" (p. 55). The authors note that whatever the composition of the review group, it might be chaired by the executive administrator (president, provost, executive vice-president) who directs and administers the entire planning effort. This institutionwide group can:

1. Review and critique each organizational unit's program plan
2. Develop and recommend a program plan for the institution to cover the next three years
3. Act as a liaison for planning between the institutional and the organization-unit levels [P. 55]

Since the institutional program plan can serve many purposes, no single format is suggested. Public institutions can use the plan as a resource-request document for funders in the state or community-college district. Private institutions can use the plan to organize fund-raising and development activities and inform trustees or church-related groups of institutional direction . . . Regardless of how the plan is used to help raise funds, *it should provide the framework and rationale for the allocation and reallocation of resources and for the forthcoming institutional budget.*

The last 2 months of the year encompass the final review, approval, and implementation of the institutional program plan, especially recruiting faculty or staff, ordering equipment and supplies, and approving curricula In addition, final budgets are prepared during these months according to planning decisions. These tasks, however, should now be easier, since the various planning units and the planning staff have already completed most of the work during the preceding 10 months. Final review and approval of the institutional program plan will probably involve the senate, president, and, ultimately, board of control. Institutional policy will dictate the process for this review; however, its timing is critical, since implementation will often include recruitment of faculty and staff, which should not be started too late in the year. Sufficient time is required for equipment and supply orders, which are often made competitively. Proper timing is necessary, too, for decisions about space and renovation, since certain times of the year are usually better suited for improving physical plant and assigning or reassigning space. Similarly, curriculum decisions need to be made by certain dates so that the institutional bulletin will reach students at the appropriate time.

> Implementation plans made during one year mark the beginning of the next. At the end of the planning calendar, projections are revised and recast in terms of the experience of the past 12 months. [Pp. 55-56]

The principal advantages of the sample just described are its adaptability and its emphasis on the daily process of planning and on the necessity of integrating planning and resource allocation into a single system.

The *Supplement* is organized around the three major steps described in the *Handbook*—(1) conducting a preplanning assessment, (2) formulating planning assumptions and describing the context for planning, and (3) implementation and operation. To help institutions adapt and implement a process like the one described in the *Handbook,* the authors of the *Supplement* have complied a representative selection of procedures, data formats, questionnaires, and discussions.

The first section of the *Supplement* contains questionnaires, data formats, and references to additional sources of information that institutions can use to evaluate the existing methods of planning, to assess the need for improvement, and to perform other preplanning assessments. The second section contains similar materials that institutions can use to describe the environment for which they must plan. These materials should be useful in conducting studies of internal and external information, developing an education plan, and writing a summary of the planning process. The third section contains planning calendars, sample planning forms for describing program objectives and activities through which the objectives can be accomplished, and other materials that institutions can use to implement and operate the process.

The reader is reminded that this is a compilation of selected materials intended to provide a starting point for those directly involved in planning at an institution. It is not within the scope of the project to document the use and evaluation of each of the materials included. In spite of this, the authors believe that users of this document will find some utility in having the *Supplement* as a resource to assist them in planning. Furthermore, the bibliography at the end of this volume refers readers to additional sources of information that may help in implementation.

Step 1—Preplanning Assessment

The first step is to assess the institution's need and desire to alter its current planning efforts or implement a different planning process

- Coordinated by assessment task force, a group representing campus leadership

Preplanning Assessment

Step 1 of the *Handbook* (see pages 11-16) instructs the institution to assess its need and desire to alter current planning efforts or to implement a different process. The *Handbook* calls this step *needs assessment;* the authors believe that a more accurate term is *preplanning assessment,* which is the term used in subsequent discussions.

Important questions to be considered in guiding preplanning assessment are:

- Is decisionmaking coordinated?
- Is there a shared sense of purpose and direction?
- Is the current planning process effective as well as efficient?
- Is there extensive participation in the process?
- Is there consensus about the mission, role, and scope of the institution?
- To what extent does the academic program reflect the mission, role, and scope?
- How well understood are the educational trends affecting the institution?
- How well do programs respond to the needs of students?

This section of the *Supplement* provides a sample of materials that may support this assessment.

Excerpts from the following sources have been used in assembling the materials for this section:

Caruthers, J. Kent, and Lott, Gary D. *Mission, Role, and Scope: Foundation for Strategic Planning.* Boulder, Colo.: National Center for Higher Education Management Systems [NCHEMS], forthcoming.

McManis Associates, Inc., and University Associates, Inc. *A Guide to the Development of Mission, Goals, Objectives, Performance Evaluation Measures, and Milestones.* Washington, D.C.: McManis Associates, Inc., and University Associates, Inc., n.d.

National Association of College and University Business Officers [NACUBO]. *A College Planning Cycle: People Resources Process, A Practical Guide.* Washington, D.C.: NACUBO, 1975.

Ohio Board of Regents. *Planning/Two-Year Colleges.* Columbus, Ohio: Ohio Board of Regents, 1974.

__________. Planning/Universities. Columbus, Ohio: Ohio Board of Regents, 1974.

Segal, JoAn S., and Sell, G. Roger. "Needs Assessment Information System." Paper prepared in conjunction with The College Board for NCHEMS training seminars, August 1978.

Step 1—Preplanning Assessment

Materials Included in This Section

PAGE INSTRUMENT TITLE

Step 1—Preplanning Assessment

17 Institutional Needs Assessment Survey
27 Excerpt from *Mission, Role, and Scope Review: Foundation for Strategic Planning*
33 A Guide to the Development of Mission, Goals, Objectives, Performance Evaluation Measures, and Milestones
51 Planning as a Cyclical and Continuous Process—Setting Goals and Objectives
57 Guidelines for Developing Goals and Objectives
61 Statement of Mission
62 Sample Goals for a Community College
63 Sample Role and Mission Statement: Bowling Green State University
65 Environmental Assumptions
67 A. External
68 B. Internal
69 C. Supporting Statistical Data
81 Student Needs Assessment Survey
91 Community Needs Assessment Survey

NCHEMS developed the survey instrument on page 17 in collaboration with the College Board to assess institutional need. Over 100 survey instruments were examined, and three preliminary instruments were developed (one each for assessing community needs, potential students, and institutional needs). The instruments for community needs and student needs have been included later in this section to address the question "how well do programs respond to the needs of students?" The institutional needs-assessment questionnaire aims to assess the capabilities and resources of a postsecondary-education institution. Although the information is mainly descriptive, it can be useful in determining policy and future directions.

Materials that address the first four questions on page 11 are described below.

1. *Long-Range Planning Kit: An Institution-Wide Approach to Increasing Academic Vitality* (Parekh 1977).

   This kit of 10 questionnaires is useful in assessing the overall efficiency of institutional planning and management activities. Completing and analyzing the appropriate questionnaire by each division should serve to promote a greater awareness and understanding of the mission of the institution and the relationship of each of its parts. The questionnaires are addressed to the 10 key functional areas found on campuses, regardless of size or orientation: all academic departments, administration, finance, plant operations and maintenance, student services, registrar's office, admission and counseling, placement, student financial aid, and development/institutional advancement.
2. *The Management Development and Training Program for Colleges and Universities* (Higher Education Management Institute 1977).

   This program presents an organizational needs-assessment instrument that is broader in scope than ones designed to assess institutional planning conditions. However, it does provide insights into organizational characteristics that are important in designing a planning process.
3. *Institutional Functioning Inventory: Preliminary Technical Manual* (Peterson, Centra, Hartnett, and Kinn 1970).

   This instrument is helpful in gathering information and providing a framework for collecting and analyzing information about how an institution functions.

SAMPLE: INSTRUMENT C

INSTITUTIONAL NEEDS ASSESSMENT

PURPOSE: To Assess the Capabilities and Resources for a Given Postsecondary Education

SOURCE: JoAn S. Segal and Roger G. Sell, "Needs Assessment Information System," paper prepared in conjunction with the College Board for NCHEMS training seminars, August 1978.

1. What type of institution do you represent?

   0 Elementary or secondary school
   1 Single program occupational school
   2 Two-year college
   3 Specialized or professional institution
   4 General baccalaureate college
   5 Comprehensive institution
   6 Major doctoral granting institution
   7 Free university
   8 Learning network
   9 Educational brokering agency
   10 Educational clearinghouse
   11 Educational consortium

2. What type of organization is responsible for the governance of your institution?

   0 A federal agency
   1 A state agency
   2 A local governmental agency
   3 A private not-for-profit group or organization
   4 A private for-profit group or organization

3. Is your institution legally authorized by the state in which you are located to grant degrees or certificates?

   0 Yes
   1 No

4. What is the Postal Service Zip Code at the place where your institution provides most of its classes?

5. How many individuals received education or learning experiences from your institution last year?

   ____

   ____

6. What percent of those individuals were

A ______% Full-time for credit
______% Part-time for credit
______% Not for credit

B ______% Male
______% Female

C ______% American Indian or Alaskan Native
______% Asian, Pacific Islander, or Filipino
______% Black or Afro-American
______% Hispanic, Chicano, or Spanish-speaking American
______% White or Caucasian

D ______% Under 18 years
______% 18 to 22 years
______% 23 to 25 years
______% 26 to 30 years
______% 31 to 40 years
______% 41 to 50 years
______% 51 to 60 years
______% 61 years or older

7. What is the total number (FTE) of employees in your institution?

______ Administrative
______ Instructional or research professional (line professional)
______ Support professional (staff professional)
______ Secretarial or clerical
______ Other ____

8. What do you consider to be the "service area" of your institution?

0 National
1 A several-state region
2 A state
3 A several-county region
4 A county
5 A city
6 A geographical area smaller than a city
7 Only our own members or constituents (regardless of geography)

9. Which of the following kinds of courses does your institution offer? (check all that apply)

0 Basic or general

1 Continuing professional

2 Occupational

3 Family

4 Recreational or leisure

5 Social development

6 Self-development

10. In which of the following areas do you provide courses?

(list to come)

11. When do you provide most of your classes?

0 Weekday mornings

1 Weekday afternoons

2 Weekday evenings

3 Anytime during the week

4 Anytime during the week or weekend

5 Only on the weekend

12. What percentage of your classes/learning activities would be available to students who wanted to attend in the

______% Spring

______% Summer

______% Fall

______% Winter

13. What percentage of courses/learning activities does your institution normally offer

______% Daily

______% Four times a week

______% Three times a week

______% Two times a week

______% Once a week

______% Twice a month

______% Once a month

______% Other ____

14. What percentage of courses/learning activities at your institution normally last for

______% Two weeks or less
______% One month
______% Six weeks
______% Two months
______% Ten weeks
______% Three months
______% One quarter
______% One semester
______% One year or more
______% Other ____

15. What percentage of your classes/learning activities are offered

______% According to a regular schedule
______% According to student demand

16. What percentage of your classes/learning activities are offered as

______% Independent study, for example correspondence, home study
______% Directed study, such as tutorials
______% Directed experiential learning, for example apprenticeships, on-the-job training, co-op
______% Self-directed learning, such as do-it-yourself projects
______% Classes
______% Small group meetings such as workshops, seminars, institutes
______% Large group meetings such as conferences, conventions, or lectures
______% Demonstrations
______% Trips or tours
______% Action projects such as working with a committee to solve a community problem, involving students in projects in the community, etc.

17. What percentage of your classes/learning activities are offered at

______% Main campus
______% Regional learning or extension center
______% Business or industrial site
______% Community center, agency, library, etc.
______% Home
______% Other ____

18. What percentage of your classes/learning activities are offered

______% In a situation where there is a live instructor and the opportunity for face-to-face interchange

______% In a "mediated" situation such as over television, from a tape or cassette, etc.

______% A combination of face-to-face and mediated situations

19. What percentage of those participating in classes/learning activities provided by your institution can live "on campus" in institutionally-owned, operated, or arranged housing?

______%

20. Is public transportation to and from your institution available

0 Yes, it is available conveniently

1 Yes, it is available but not convenient

2 No, it is not available

21. Is parking available at or near your institution

0 Yes, free

1 Yes, metered, hourly rated lots, or similar

2 Yes, on a weekly or monthly basis

3 Generally not available

22. How much do you normally charge students at your institution for tuition and fees?

$______ per

☐ course

☐ credit hour or unit

☐ week

☐ month

☐ semester or quarter

☐ year

23. From which of the following programs can those who take classes/learning activities at your institution receive support? Check all that apply

☐ Basic Educational Opportunity Grants (BEOG)

☐ Supplemental Educational Opportunity Grants (SEOG)

☐ National Direct Student Loans (NDSL)

☐ College Work-Study Employment (CWS)

☐ Federally-Insured or Guaranteed Student Loans (FISL, GSL)

☐ Veterans Benefits

☐ State Scholarships or Grants

24. Institutional identification

Name of institution ______________________________

Name of individual completing this survey ______________________________

Title of individual ______________________________

Address of institution ______________________________
Number, street, unit, etc.

____
City and state

Telephone number ________ ____________________
Area code Number

Sources

The following sources can help institutions address the question: *Is there consensus about the mission, role, and scope of the institution?* Excerpts from these sources are included in this section.

1. *Mission, Role, and Scope: Foundation for Strategic Planning* (Caruthers and Lott forthcoming).
   NCHEMS is in the final stages of a project designed to help institutions identify their mission, role, and scope. This document will be especially helpful in providing some procedures and standard terminology for conducting an M/R/S study. Included here is an excerpt from that document that explicates the essential characteristics of a mission, role, and scope statement.
2. *A Guide to the Development of Mission, Goals, Objectives, Performance Evaluation Measures, and Milestones* (McManis Associates, Inc., and University Associates, Inc. n.d.).
   Although developed jointly by McManis Associates and University Associates for Advanced Institutional Development Program schools, the *Guide* has application beyond these schools. Although it does not address directly the problem of measuring M/R/S consensus, it does provide a useful framework for developing M/R/S statements (see page 39).
3. *Planning/Universities* (Ohio Board of Regents 1974).
   Materials excerpted from this book give guidelines for setting institutional goals and objectives and may be helpful in developing M/R/S statements and linking mission with goals and objectives.
4. *A College Planning Cycle, A Practical Guide* (NACUBO 1975).
   This book provides several forms (which are included here) for collecting and assessing information about an institution's mission.
5. *Planning/Two-Year Colleges* (Ohio Board of Regents 1974).
   Excerpts from this document are similar to those reproduced from *Planning/Universities* and provide sample goals for a community college as well as a sample role and mission statement.

Although not reproduced here, an additional source that might be considered in addressing this topic is:

Institutional Goals Inventory (Educational Testing Service [ETS])
Developed by ETS, this is a survey instrument used to gather information about perceived as well as normative goals of an institution. The *Inventory* facilitates comparisons among the institution's different constituents (for example, students, faculty, administration, alumni).

Excerpt from Mission, Role, and Scope Review: Foundation for Strategic Planning

Elements of Mission, Role, and Scope Statements

A mission, role, and scope statement should define the institution's identity in three primary program areas--instruction, research, and public service (Collier 1978).[1] The overall statement should separately consider each program's character, clientele, primary activities, and relative emphasis among programs. Table 2 describes how these various factors fit into separate mission, role, and scope sections of the overall statement.

Instruction

In describing instructional programs, the mission statement should identify the institution's educational philosophies. Such philosophies may range in subject matter from curriculum content to educational opportunity to teaching style. For instance, the typical liberal-arts college affirms the value of liberal learning for effective participation in society. The typical community college endorses the merits of open and convenient access. If the institution subscribes to any particular teaching approach, such as a Great Books program or individually paced instruction, it should be spelled out in the mission statement.

---

1. Douglas Collier, Program Classification Structure, 2nd ed., Technical Report 106 (Boulder, Colo.: National Center for Higher Education Management Systems, 1978).

Source: J. Kent Caruthers and Gary D. Lott, Mission, Role, and Scope Review: Foundation for Strategic Planning. (Boulder, Colo.: NCHEMS, forthcoming).

Table 2

Elements of Mission, Role, and Scope Statements

PROGRAM[1]	MISSION	ROLE	SCOPE
Instruction	Educational Philosophy Sponsorship Clientele	Major Program Areas and Levels Unique Programs Relative Priority	Program Inventory Special Instructional Support Services Level of Activity
Research	Character of Activity Sponsorship	Major Areas of Inquiry Relative Priority	Listing of Institutes, Bureaus, and Centers Special Research Facilities Level of Activity
Public Service	Character of Activity Sponsorship Target Audience	Major Service Activities Relative Priority	Listing of Programs Offered Level of Activity

[1] Not all of the listed programs are applicable to all institutions. For example, some liberal-arts colleges may not espouse a public-service mission and some community colleges may not have a research mission.

The mission statement also should discuss the related characteristics of sponsorship and student clientele. If a principal feature of the institution is its relationship with a particular religious denomination or a particular governmental unit (such as a county), this information should be included. In some institutions, sponsorship influences many areas. A strong religious affiliation, for instance, may be reflected in curriculum, staffing, and student life. Likewise, the local ties of a community college can be seen in tuition policy and public-service programming.

Instruction that focuses on particular types of individuals (for example, members of a particular ethnic group, religion, or sex) should be mentioned. Other characteristics important to describe are the admission standards and the desired mix and relative priority of graduate and undergraduate instruction.

In developing the role statement for instructional programs, the relative emphasis on instruction (vis a vis research and service) and the institution's major program areas (for example, biological sciences, law, and teacher education) should be highlighted. Similar summary information should be provided about the levels at which degrees are offered. Also important to include are characteristics that particularly distinguish the institution (for example, a school of mines or a major program, such as veterinary-assistant training, that is not offered at other institutions in the region).

In keeping with our definition of mission, role, and scope, the scope statement for the instructional program entails a complete inventory of academic programs offered with a focus on the volume of activities carried out. This inventory should include information about specific discipline and degree levels and should describe the volume of activity and the instructional support programs that are available. For instance, reading or study-skills centers or special instructional laboratories might be mentioned, particularly when, as support programs, they play essential roles in the instruction at the institution.

Research

The mission statement for research should describe the basic character, purpose, and sponsorship of research conducted on campus. At many institutions, this statement may amount to descriptions of research conducted either to maintain the competency of faculty members in their disciplines or to improve the instructional process. At a major research university, however, the mission statement might describe basic research that aims to advance the state of knowledge and contribute to graduate instruction. Between these extremes are institutions committed to conducting applied research that focuses on local problems.

The role section of the overall statement on research should identify the relative emphasis of an activity and major disciplinary or problem areas where research is conducted. Most land-grant institutions, for instance, have major programs for agricultural research. In the statement of scope, research institutes, bureaus, and centers--and their level of activity--should be noted, as well as the institution's access to special research facilities (nuclear reactors, ocean vessels).

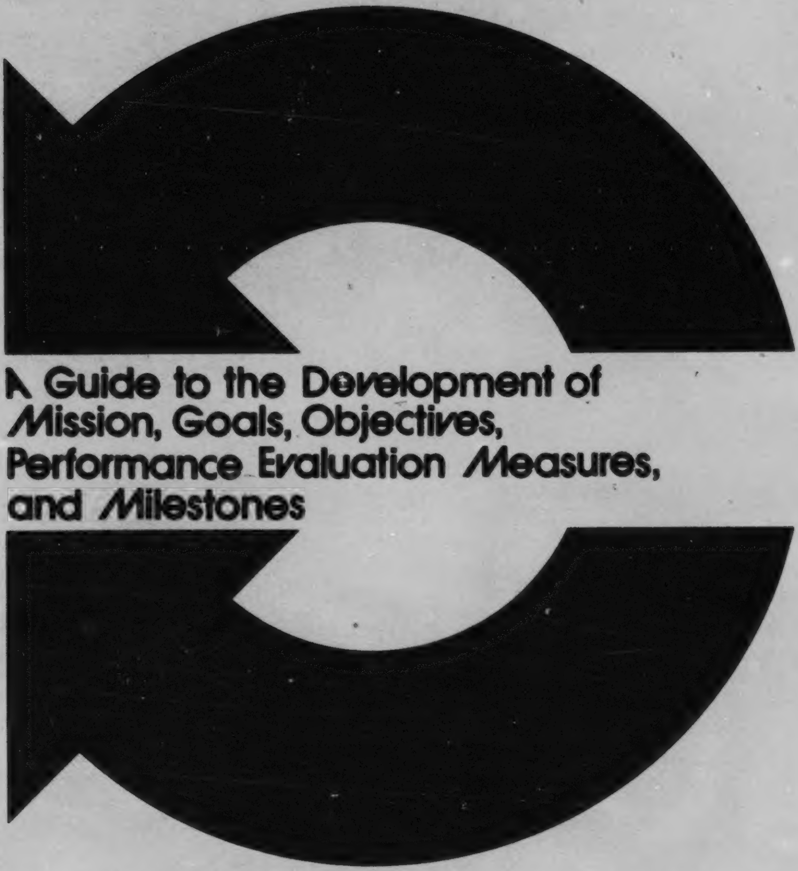
Public Service

The public-service mission statement should define the basic character of these programs. Many institutions have fairly informal programs of public service; others consider extension and public service as a major organizational division. Public-service programs can be distinguished in the mission statement according to their target audiences or to the nature of the activity (speakers bureau, public broadcasting). Possible target groups include individuals seeking educational enrichment or upgraded job skills and business firms or other organizations pursuing specific interests.

The role and scope sections should offer details about the specific public-service operations of the institution. The mission statement about public service should indicate the priority of a program with respect to instruction and research. It also should highlight the major types of public-service activities to be conducted. Particular emphasis should be given to efforts that are not common to similar or nearby institutions. The scope statement entails a listing of all public-service programs--and their level of activity--that will be conducted throughout the planning cycle.

Priority among Mission Elements

Careful attention in addressing each of the elements of a mission, role, and scope statement (figure 5) can do much to strengthen its value for planning. One additional step, however, is required to gain the full benefits of mission review. If the mission statement is to serve as a guide for operational decisions, the institution should define its significant elements or driving forces.



A Guide to the Development of Mission, Goals, Objectives, Performance Evaluation Measures, and Milestones

Prepared for Colleges
and Universities
Funded Under the
Advanced Institutional
Development Program
U.S. Office of Education
Prepared by
McManis Associates, Inc./
University Associates, Inc.
Washington, D.C.

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IX. CONCLUSION

NOTE: Sections VIII and IX are not reproduced here.

I. OVERVIEW

Reporting requirements have been established by the U.S. Office of Education/Advanced Institutional Development Branch to assist participating institutions to monitor and evaluate progress made through the utilization of AIDP grant funds. Dr. Anita Allen, Chief of the AID Branch, has stated that:

> The monitoring and evaluation schedules have been designed to facilitate the periodic technical reporting and program evaluation which is an integral part of the Advanced Institutional Development Program (AIDP) . . . . The forms are intended to demonstrate the relationship between the various activities and the goals and the mission of the institution, as well as to provide assurance of adequate monitoring by both AIDP staff and your AIDP Coordinator of progress towards achieving these goals by meeting activity milestones. These forms will also provide you with an instrument for monitoring the progress of each activity and of the entire program. . . .

Dr. Allen is suggesting that ***the reporting format has been designed as an operational planning instrument for the participating institutions.*** The fulfillment of the reporting requirements will not only inform the Office of Education of institutional progress but will create an opportunity for the institution to reexamine and evaluate its programs periodically.

Evaluation is facilitated by the use of mission, programs, goals, activity objectives and their corresponding performance evaluation measures, and milestone projections. Progress is reported on the schedules provided by the Office of Education.

Conceptually, the mission is the apex of a pyramid or hierarchy. It is supported by goals, objectives, performance evaluation measures (PEMs), and milestone projections. Assessment of the institution's academic directions, supporting services, logistical needs and available resources presumably has preceded the formulation of mission, goals and objectives. Such assessment represents enormous effort and forms the base upon which this pyramid is constructed. The articulation, acceptance and implementation of mission, goals and objectives within the institution are predicated on inputs and involvement from the several hierarchical levels of the institution — top administration and faculty — working together in a continuing partnership (see ***Exhibit 1***).

Other than the mission statement — a philosophical, value-oriented declaration — all other devices such as goal statements, activity objectives, PEMs, and milestones are down-to-earth managerial expressions of intent. They provide management the keys with which to implement and monitor Federally funded AID programs.

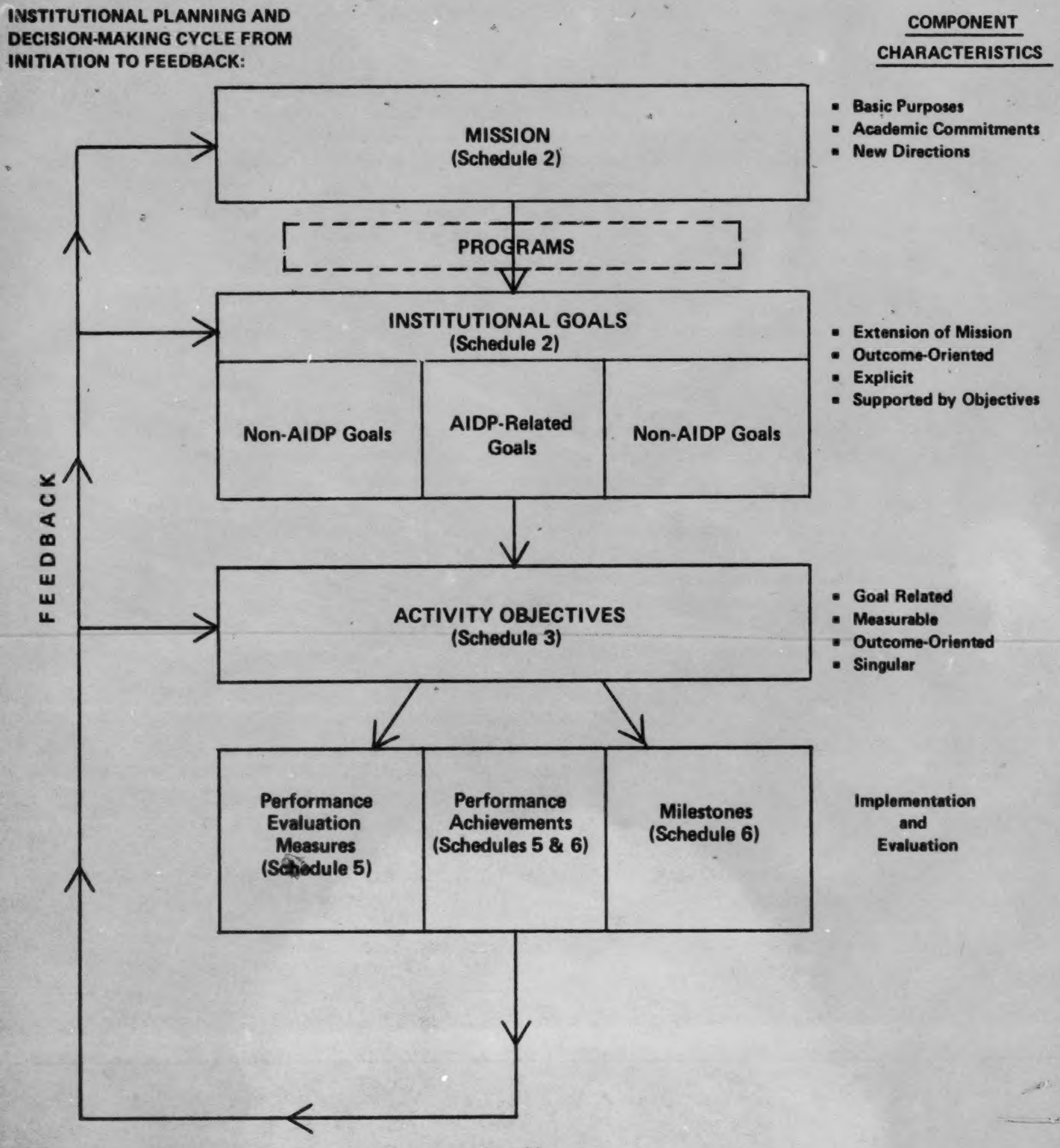
One last comment of over-arching importance. Missions, goals, activity objectives, PEMs and milestones are dependent one upon the other. The quality of one element

Source: McManis Associates, Inc., and University Associates, Inc., *A Guide to the Development of Mission, Goals, Objectives, Performance Evaluation Measures, and Milestones* (Washington, D.C.: McManis Associates, Inc., and University Associates, Inc.).

directly affects the quality of the succeeding element. A good mission statement facilitates the delineation of sound programs; sound programs facilitate the delineation of goal statements; good goal statements facilitate the delineation of activity objectives; good activity objectives facilitate the delineation of sound PEMs; properly scheduled milestones provide the vehicle for the sound monitoring of activities. This chain — from mission statement to evaluation — creates a mechanism for generating management information and feedback that will support the next planning cycle and decision-making process. A chart illustrating these relationships follows.

Exhibit 1

MAJOR COMPONENT RELATIONSHIPS


INSTITUTIONAL PLANNING AND DECISION-MAKING CYCLE FROM INITIATION TO FEEDBACK:
COMPONENT CHARACTERISTICS
MISSION
(Schedule 2)
Basic Purposes
Academic Commitments
New Directions
PROGRAMS
INSTITUTIONAL GOALS
(Schedule 2)
Non-AIDP Goals
AIDP-Related Goals
Non-AIDP Goals
Extension of Mission
Outcome-Oriented
Explicit
Supported by Objectives
FEEDBACK
ACTIVITY OBJECTIVES
(Schedule 3)
Goal Related
Measurable
Outcome-Oriented
Singular
Performance Evaluation Measures (Schedule 5)
Performance Achievements (Schedules 5 & 6)
Milestones (Schedule 6)
Implementation and Evaluation

II. THE STATEMENT OF INSTITUTIONAL MISSION

The institutional mission is a broad statement of fundamental purpose that embraces the social and intellectual aspirations of the institution. Some or all of the following properly may be included in a mission statement: the legacy of the institution; the major segments of society served; academic and public service emphases; the character and composition of the student body; the character and quality of the faculty; new directions to be pursued; institutional uniqueness; the relationship to the social, economic or political environment.

It is through the mission statement of the AIDP Final Plan that the institution makes known its aspirations to develop the human resource and to serve education and society. The mission statement may also include important aspects of continuity, desired changes, or new directions.

Only an institution can decide the nature and scope of its mission. However, some institutions have not recently reassessed their mission statements. The development of the AIDP Final Plan has prompted introspection and has created an awareness of a disparity between what the institution says it does and what, in fact, it is doing or wants to do. Many AIDP institutions have redefined their mission statements during the AIDP initial planning phase. These redefinitions reflect the inputs of faculty, students, alumni, top administrators, and academic officers.

The institutional mission is the principal reference for the development of the institution's goals and program activity objectives.

A mission statement should:

- *Clearly identify the institution's overall purposes: whom it will serve, how it will serve them, and the results of this service.*
- *Clearly indicate the general direction the institution endeavors to move.*
- *Clearly furnish a frame of reference for the relevancy of the institution's goals.*
- *Clearly set forth the emphasis, scope, and character of the institution's academic programs.*
- *Clearly distinguish the institution from all other institutions.*

EXAMPLES OF COMPLETE MISSION STATEMENTS

The following mission statements contain combinations of descriptive information and statements of purposes. These mission statements tell whom the college serves, how they are served, and to what ends or purposes they are served. A mission statement designed for USOE should be precise and succinct.

Regional College Mission

Regional College is a four-year, coeducational college of liberal arts and sciences, related to the United Church which serves ***a student population reflecting the demographic, socioeconomic, and educational diversity found in the Transmontane Region.*** The College maintains a tradition of providing a high quality baccalaureate program particularly designed to prepare students for professional careers.

This program is ***student-centered, maximizing the potential advantages of our small size, encouraging and assisting students in the process of "life planning."*** In its efforts to educate young men and women for responsible and creative participation in a modern society, Regional College endeavors to combine critical pursuit of knowledge with the cultivation of religious conviction and to unite maximum academic achievement with dedication to service.

Southwestern State School of Science Mission

The mission of Southwestern State School of Science, a public, comprehensive community college, is:

- To offer pertinent and diverse educational programs for young people and adults with varying interests and abilities in the Southwestern area of the state by:
    - Providing college-parallel programs consisting of the first two years of regular college studies;
    - Providing technician programs of up to three years in duration to prepare students for jobs in industry, business, and service occupations;
    - Providing vocational programs of less than technician level that prepare students for jobs requiring different levels of ability and skill;

- Providing continuing education programs for employed, underemployed, and other adults who need training or retraining, or who can otherwise profit from the program;
- Providing short courses, seminars, and workshops that will meet the adult, industrial, and service needs; and
- Providing bilingual courses and curricula to meet the needs of our Hispanic community.

Western State University Mission

Western State is a coeducational, urban university, established by statute as a state university for the purpose of meeting the educational needs of the people of the western part of the state. The University's mission focuses on undergraduate, graduate and professional degrees and regional continuing education programs. Western State University assumes the traditional role of a public university — the discovery of knowledge through scholarship and research; the preservation of knowledge through a vigorous library and archival program; the transmission of knowledge through creative teaching and professional activity; and the application of knowledge to regional and urban problems.

Western State University provides an environment for cultural enrichment, integrated with career preparation.

EXAMPLES OF INCOMPLETE MISSION STATEMENTS

The following mission statements are too broad and could identify any institution.

Nirvana Community College Mission

Nirvana Community College is committed to providing the citizenry with educational opportunities demanded by the continued progress of civilization and the development of a free democratic society. The College fosters the propagation of knowledge and skills and acts as a catalyst for individual growth. Being committed to learning, Nirvana Community College is vitally concerned with the components of the educational system: students, faculty, administration, teaching methods, subject matter, and setting. Men and women of all ages, regardless of social, ethnic, racial or religious background, will be educated and assisted to achieve self-realization in a humane educational environment.

III. INSTITUTIONAL GOALS

Institutional goals are logical extensions of the institution's mission. Whereas the mission "refers to the broad, overall, long-term purpose of the institution," a goal "is more definitive and capable of achievement in a certain period of time." (See Part III, "Instructions and Application Forms for Submitting a Title III Application.")

Goals are comprehensive and address themselves to the major roles and functions of the institution (academic instruction, public service, continuing education, student services, research, learning resources, institutional management, etc.). They may constitute the expansion or strengthening of existing programs or the inauguration of new programs. Goals define the directions toward which the institution wishes to move during the grant period. In contrast to the philosophical mission statement, goal statements are management-oriented and indicate a need for concrete actions.

Reporting institutions should be aware of the relationship that exists between institutional goals and the AID Program. AIDP requires that the mission as well as *all* supporting institutional goals be listed. The AIDP grant will not necessarily be directed towards the achievement of all of these goals. Many institutions choose only a few goals to be subsumed within the AID Program. Specific activities, objectives, performance evaluation measures, and milestones are then developed to facilitate the achievement of these goals. The reporting institution is not required to describe the progress made towards non-AIDP goals and should devote its effort towards adequately describing the goals served by AIDP.

An institutional goal should:

- *Represent a logical extension of the mission statement.* *
- *Be outcome-oriented.*
- *Be explicit.*
- *Be supported by a series of objectives.*

---

* The AIDP reporting instructions require that institutions develop goals for two time frames: the AIDP grant period and each academic year included in this grant period.

IV. ACTIVITY OBJECTIVES

Activity objectives are vehicles for the implementation of related institutional goals. They must be expressed in terms of expected outcomes, end results, or observable performance. If the objective is clear and well stated, it has the inherent quality of exercising a directive influence.

The statement of an activity objective should include the base or reference against which change can be quantitatively or qualitatively evaluated. Administrators as well as faculty and evaluators need to know what is being changed, how, and by how much. A clear point of departure allows an institution to measure its progress.

An acceptable objective will:

- *Be outcome-oriented.* *
- *Be measurable, suggesting the quantitative or qualitative degree, amount, or level of the achievement or change being sought.*
- *Be focused on singular rather than multiple outcomes.*
- *Be of sufficient scope to embrace a series of discrete tasks and major events.*
- *Be consistent with one or more institutional goals.* **

---

* Objectives should not be stated as processes without indicating outcome. The primary consideration in writing objectives must be the outcome focus; however, the institution may want to identify the means by which the outcome will be attained.

** The AIDP reporting instructions require that institutions develop objectives for two time frames: The AIDP grant period and each academic year included in this grant period.

V. PERFORMANCE EVALUATION MEASURES

The development of ***appropriate*** performance evaluation measures (PEMs) is one of the most important efforts undertaken during the development of the Final Plan or in complying with the USOE/AIDP reporting requirements. Institutions which develop ***appropriate*** PEMs during the planning period are more effective in assessing the extent of achievement at the end of each academic year (and, subsequently the grant period) than institutions which wait until after the planning period to develop appropriate measures.

Evaluation is more than "after the fact" assessment. Without a sound, pre-established evaluation strategy, it is difficult to identify what went wrong, what went right, or how feedback should be utilized throughout the grant period to correct shortcomings of the system. Evaluation helps to control operations, to determine resource allocation, to keep programs on track, and to alter or eliminate steps or procedures that do not contribute to the attainment of the objectives.

PEMs should be developed at the same time the objectives are formulated. Each AIDP objective needs this type of measure in order to assess the extent to which anticipated outcomes have been obtained.

A performance evaluation measure should:

- *Include the **specific criteria** of acceptable attainment of the objective.*
    - *At least one performance evaluation measure should be developed for each activity objective.*
- *Contain specific details about the measurement process, including factors such as verification of the results, baselines for measurement (baselines for measurement should include the percentages/amounts from which progress or increases are determined), tests to be administered, identification of respondents, etc.*
- *Include the location of evidence or person responsible for assessment of outcome.*

VI. MILESTONES

Milestones indicate an explicit strategy for pinpointing progress on a predetermined timetable or schedule. They are entered on USOE reporting forms to demonstrate the scheduling of major tasks or events and to show the relationship between actual accomplishments and planned accomplishments.

The AIDP monitoring and reporting requirements include provisions for reporting the success, delays, or shortfalls in reaching established milestones. The milestone chart permits assessment of any consequences which may result from delays in achieving milestones and invite management's attention to projected milestones that need additional review and attention.

A milestone should:

- *Denote a major task or event rather than a routine event.* *
- *Be a singular or discrete task or event.*
- *Be a key or significant step leading to the completion of an objective.*
- *Be part of a logical sequence.*

---

* For example, "Establish planning committee" is a major task and a suitable milestone. However, "Planning committee meets in June," and "Planning committee meets in July" are routine events and not suitable as milestones.

VII. EXAMPLES OF COMPLETE GOALS, OBJECTIVES, PEMs, AND MILESTONES

IMPROVE BASIC SKILLS

Goal:	To improve basic skills in reading, writing, and mathematics of all entering freshmen with correctable deficiencies in any of these tool subjects. (The outcome is improvement of basic skills among freshmen with correctable deficiencies.)
Objective:	To improve the reading skills of entering freshmen by two grade levels. (The objective is outcome-focused and provides a means for determining the results.)
PEM:	By June 1978, the Director of Counseling will have on file pre- and post-test comparisons of standardized test results in reading that will reflect an improvement of two grade levels among 50% of the entering freshmen. (The scheduled completion date, affected group, and measurement criterion have been clearly indicated.)
Milestones:	Acquire reading laboratory facilities Administer standardized reading tests Complete comparisons of standardized test results (The tasks are singular and represent three of the major events that must be accomplished to reach the objective.)

Complete Examples

VOCATIONAL/TECHNICAL SPECIALTIES

Goal: To develop up to date programs in selected technologies that will permit students to obtain fulfilling employment.

(The outcome is the development of new programs.)

Objective: To develop a two-year Animal Health Technician program which contains at least 30% clinical experience, which will admit at least 50 students by September 15, 1978.

(The outcome is the offering of an approved program to a minimum number of students.)

PEM: The catalog and other institutional brochures will certify that an academic major including a minimum of 12 courses in Veterinary Science, accepted by the State Veterinary Association, will be offered to 50 students by June 1979.

(This PEM specifies dates, minimum levels of achievement, and qualitative criteria.)

Milestones: Obtain approval of program by curriculum committee

Analyze current statewide Animal Health Science offerings

Prepare curriculum offerings

Approve course offerings

Obtain State Veterinary Association curriculum approval

Complete first-year course development

Develop brochure

Advertise program

Submit application for state approval, etc.

(These milestones are specific and represent simple, major events for this activity.)

Complete Examples

COMMUNITY EDUCATION

Goal:	To establish short-term educational opportunities and facilities that will permit the institution to respond more efficiently to community needs. (The outcomes here identified are the educational opportunities and facilities.)
Objective:	To establish a downtown Urban Center offering a minimum of 20 courses (consumer protection, child care, etc.) for area residents during the academic year 1977-78. (The outcomes identified here are specified in terms of minimums, facilities, and dates.)
PEM:	The Dean of Community Education's records will show that a minimum of 20 courses in consumer protection, child care and other community-oriented areas will have been presented by June 1978 to more than 200 members of the community. (Specified as measurable by the Dean's records are the numbers of classes, students and time frame.)
Milestones:	Design community survey instrument Perform community needs assessment Identify facility Prepare class listings Renovate facility Recruit staff Advertise courses Present first offerings (These are discrete, logical, major tasks for this activity.)

Complete Examples

FACULTY DEVELOPMENT

Goal: To improve academic instruction through programs which will strengthen faculty skills.

(The result expected is the improvement of academic instruction which will be achieved through a series of programs.)

Objective: To upgrade the Special Education faculty (5 of 10 faculty members) in the field of preschool education for the handicapped through a cooperative arrangement with the State University.

(This objective specifies an outcome and a process.)

PEM: By June 1979, five Special Education faculty members will have completed 20 hours in preschool education for the handicapped.

(This PEM specifies the nature of training, who will be trained, and when the training will be completed.)

Milestones: Establish cooperative arrangement with the State University

Select participating faculty members

Grant faculty release time

(Each milestone is a discrete task.)

2. Planning as a Cyclical and Continuous Process

SETTING GOALS AND OBJECTIVES

Role of Goals and Objectives in the Planning Process

A weak link in the planning process has often been the failure to identify and agree upon goals and objectives. The establishment of goals and objectives is difficult for several reasons:

1. It is vital for goals and objectives to be clearly defined.
2. There has been uncertainty as regards the meaning of goals and objectives. The two terms are often vague, and used interchangeably in the literature.
3. The methodology for defining and agreeing on goals and objectives is not well developed.
4. Faculty members and educational administrators are often not acquainted with the concepts of goals and objectives.
5. Administrators on one level often point out that the next higher administrative level does not have satisfactory goals and objectives.
6. The stringent criteria requirements of goals and objectives makes the process a formidable task.

Goals and objectives of planning units are important for several reasons. Goals and objectives:

1. Are the necessary first steps in establishing the direction in which an organizational unit should proceed.
2. Tend to require a rational study and approach by those responsible for managing an organizational unit.
3. Provide a means of selecting priority and alternative programs on a basis other than dollars and cents.
4. Provide a means of evaluation.
5. Provide targets to which all parties can relate.

Goals and objectives are the foundation of the planning process, and it is vital for goals and objectives to be clearly distinguished. Goals are defined as the desired end results set for long periods of time (e.g., ten years). Goals and objectives are often used interchangeably, however, they differ with regard to time frame, measurability and sequence. Goals are long-range in scope and regarded as the end result. Objectives are short-range and are steps in the direction of attaining a goal. Objectives are designated as the measurable at-

Note: The following eight pages are excerpts from Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), pp. 21-29, 79-82.

tainments or desired results set for programs over a short period of time (e.g., one year). Objectives are generally regarded as progressive steps toward a goal. Thus, a series of objectives should lead to one's goal. Goals must be established before objectives are specified.

Requirements of Goals

The requirements of a goal indicate it should:

1. Be in agreement with the institution's philosophy.
2. Be compatible with the mission of the institution.
3. Be divisible into objectives.
4. Be feasible.
5. Select predictable consequences.
6. Have a long-term time frame for completion.

Requirements of Objectives

The requirements indicate an objective:

1. Must relate to a goal.
2. Must be measurable or observable.
3. Must identify the specific group to which the objective applies, i.e., the target group.
4. Must specify the method of measurement.
5. Must specify the criteria for evaluation.
6. Must state the conditions under which measurement of the achievement of the objective is to be accomplished.
7. Must state the time period for achievement.

Written Goals and Objectives

To be a useful management tool, goals and objectives must be specified in writing.

Guidelines for Developing Goals and Objectives

Practical guidance for setting educational goals and objectives has been provided in several recent publications.[1] Planning of institutional goals and objectives must not only satisfy the requirements for goals and objectives that have already been suggested, but must also secure group understanding and endorsement of the formulations which are developed. Appendix 1 contains a specific technique to follow in setting goals and objectives. This appendix should be of interest and value to those administrators who are desirous of some clear-cut guidance in establishing goals and objectives for an organizational unit.

Planning for setting of institutional goals and objectives must address questions such as the following:

1. What is the distinctive mission of the institution the reason it exists?
2. What are the things the institution wants to do or to see happen?
3. What will count as evidence for or against the claim that the goal or objective has been reached?
4. How will an individual outside the institution be able to determine whether the institution is attaining its goals or objectives?

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[1] Robert F. Mager, Goal Analysis, Belmont, Calif., Fearon Publishers, 1972. Preparing Instructional Objectives, Belmont, Calif., Fearon Publishers, 1962; H.C. Ammermann and W.H. Melching, The Derivation Analysis and Classification of Instructional Objectives, George Washington University, May, 1966; Edward Gross and Paul V. Grambsch, University Goals and Academic Power, Washington, The American Council on Education 1968; Benjamin S. Bloom, ed., Taxonomy of Educational Objectives: The Classification of Educational Goals, New York, David McKay Company, Inc., Handbook I: The Cognovit Domain, 1956, Handbook II: Affective Domain, 1964.

5. What is the relative importance and priority of the various goals and objectives of the institution?

Responsibility For Formulating Goals and Objectives

There are several means of establishing a working set of goals. They are:

1. Appoint a working committee composed of students, faculty, administrators and other related groups.
2. Assign specific responsibility of goal seting to chief officers of the institution, e.g., vice president for academic affairs, vice president or director for planning, vice president for finance, etc.
3. Assign specific responsibility to a chief officer and appointing an advisory committee to assist.
4. Board of Trustees accept the responsibility with the proper staff assistance.
5. Presidents assume the responsibility of goal setting.

Depending on the size of the university and particular circumstances, any of the foregoing methods might be effective. For many universities, it appears that method No. 3 appears to be most appropriate. This method should provide effective and efficient leadership while permitting student and faculty participation.

Classification of Institutional Goals and Objectives

Planning of goals and objectives must be comprehensive, in the sense that planning leads to specification of all the kinds of goals and objectives which are appropriate to the institution. A taxonomy of goals and objectives for an educational institution will help departmental, collegial and university planners to consider a wide range of actual or possible goals and objectives and to achieve a high degree of comprehensiveness in planning.

The taxonomy of institutional goals and objectives should include not only those which relate to the primary mission of the institution (e.g., instruction, research and public service), but also those which facilitate and support the primary goals and objectives. Specific planning for support services (e.g., plant operation and maintenance or general administration) is essential to the achievement of the primary goals and objectives of the institutions. Support goals and objectives are secondary to primary goals and objectives in the way that means are secondary to ends, but they are no less indispensable. Planning must therefore provide for specification of support goals and objectives as well as primary goals and objectives.

An important function of a taxonomy is to aid in establishing priorities among institutional goals and objectives. The taxonomy will identify certain goals and objectives as "primary", others as "supportive", and it may suggest other relationships among goals and objectives which will aid in determining their relative importance in terms of the institution's essential mission and nature.

A suggested outline of university goals and objectives is offered in Figure 4. The outline is intended to be illustrative and suggestive. The point to be emphasized is that planning for setting of institutional goals and objectives must be of the most comprehensive sort, and must specify goals and objectives for both primary and support programs of the university.

The basis for the taxonomy of Figure 4 is a concept of the major kinds of functions that are required for the operation of the university as a system (auxiliary enterprise functions have not been included in this illustration). The taxonomy is one of types of functions of the university, not one of the types of operating units or programs in the organization. It is to be expected, of course, that particular operating units will display specialized emphasis in pursuit of a limited set of goals and objectives. On the other hand, concern for many of the above goals and objectives may be shared by a wide range of activities and operations.

Figure 4

TAXONOMY OF UNIVERSITY GOALS AND OBJECTIVES

I. PRIMARY GOALS AND OBJECTIVES
   - A. Instruction
      1. Development of understanding, skills and attitudes
      2. Preparation for particular tasks and functions in society
      3. Transmission of knowledge and culture
   - B. Research and Creative Activity
      1. Discovery, preservation and dissemination of knowledge
      2. Artistic creation and performance
   - C. Public Service
      1. Contributions to general culture and entertainment
      2. Consultative service

II. SUPPORT GOALS AND OBJECTIVES
   - A. Staff Support
      1. Staff recruitment and personnel services
      2. In-service training of staff
   - B. Student Service
      1. Student recruitment
      2. Student advising and counseling
      3. Student financial aid
      4. Student activities
   - C. Physical Facilities
      1. Provision of space and equipment
      2. Maintenance of buildings and grounds
   - D. Management
      1. Policy formation and revision
      2. Planning
      3. Fiscal and policy control
   - E. Communications
      1. Records maintenance
      2. Duplication and publication services
      3. Information system maintenance
      4. Public information, public relations, and advertising
   - F. External Support
      1. Procurement of funds for unrestricted purposes
      2. Procurement of funds for restricted purposes

Assigning Priorities to Goals and Objectives

The identification of priorities and alternatives is a vital aspect of the planning process. Such identification, however, is often the most difficult aspect of planning. This is especially the case when goals, objectives and programs are interwoven and interdependent. Nevertheless, the assignment of priorities to selected goals and objectives is essential for responsible resource allocation decisions as long as resources are scarce and cannot equally satisfy all concerns.

The first step in the assignment of priorities to goals and objectives is to draw a distinction between primary goals and objectives and support goals and objectives. This distinction is derived from an understanding of the essential mission of the enterprise. Support goals and objectives are by no means superfluous or expendable. They are, on the contrary, essential to the viability of the enterprise. But the value and importance of support goals and objectives must always be assessed by reference to their utility for advancing the primary purposes of the enterprise.

Priority-setting among primary goals and objectives or among support goals and objectives is likely to be even more difficult and controversial than the endeavor to distinguish between primary and support goals or between primary and support objectives. Usually the importance attached to such goals or objectives will be reflected in a statement of the degree to which the goal or objective is to be attained, rather than in a ranking of goals and objectives from those which are indispensable to the organization to those which are not essential to its existence. But the determination of a point on a continuum of possible achievement which represents the importance attached to a goal or objective is often a matter of subjective judgement. Nevertheless, planning for assigning priorities to goals and objectives should aim at arriving at intersubjective and verifiable judgements. Actually accomplishing this sort of planning is one of the most difficult, and at the same time one of the most important, stages of the process.

It is recommended that each university: (1) Identify those persons who are responsible for formulating and revising statements of institutional goals and objectives; (2) Create procedures and formats for obtaining specification of goals and objectives in a manner which establishes a basis for program planning and evaluation; (3) Devise a taxonomy of institutional goals and objectives to assume the comprehensiveness of the formulation of institutional goals and objectives; and (4) Define criteria for determining the relative priorities among institutional goals and objectives.

Appendix 1

GUIDELINES FOR DEVELOPING GOALS AND OBJECTIVES

STAGE I GOAL AND OBJECTIVES ANALYSIS

Many of the basic ideas for Stage I came from two books by Robert F. Mager, **Goal Analysis and Preparing**, and **Instructional Objectives**. It is important to note that the style of writing is from an individual's viewpoint. However, the proposed principles of writing goals and objectives apply equally to any organization.

STEP 1 Write down what you think or feel are goals and objectives. What is it that my organization unit wants to do or happen? Why does it exist? Write down as many statements as you can think of. Because this is a first step, use whatever words are comfortable, regardless of how fuzzy or vague they may be. At this stage, don't be concerned if each statement is a goal or objective.

Thus, the first thing in goal and objectives analysis is simply to initiate a brainstorming exercise.

STEP 2 Write down the indices of performance that would cause you to agree the goal or objective has been achieved without regard for duplication or fuzziness. Keep in mind that this is still a scratch paper exercise. There are three strategies that may help you complete this step of describing the achievement of the goal or objective.

1. Answer the question, "What will I accept as evidence my goal or objective has been achieved?"
2. Answer the question, "Given a set of 'outcomes', what is the basis on which we would separate them into two groups; those outcomes which had achieved our goals and those which had not?" Yes or no situations.
3. How would someone outside our organization know if we have attained our goals and objectives? What clues would they look for?

Again. Step 2 is for getting things down in writing—a brainstorming exercise.

STEP 3 Step 3 is a sorting out stage. Sort the things you have listed in Step 2, looking for abstract statements and duplications. Once a goal or objective has been written and a list has been drafted of the things you think would cause you to agree the goal or objective has been achieved, the list is sorted out and separated into goals and objectives. Remember, goals are long-range and objectives are short-range. Write your goals on one sheet of paper and your objectives on another. Duplications are deleted, as are the items that, on second thought, are unwanted. Abstractions are made precise and performances are indicated. Each individual goal and objective is then written on a separate piece of paper. The process is repeated until every item appears to be a goal statement, an objective statement, or neither.

STEP 4 Step 4 is refining the criteria or level of performance that would cause you to say that your objectives have been achieved and progress is being made toward attaining your goals. Write a complete statement for each goal and objective which describes the precise nature, quality, or amount of performance you will consider acceptable when evaluating the success of your stated goals and objectives. Identify the time frame. Make coherent statements to describe what you intend for each of the performancs on your list. For example, you must define precisely what you mean by terms used in your goal and objective statements. For example, terms such as regular, testing, understand, etc. must be precisely defined. Remember, your statements must describe the outcomes you must achieve to be willing to say your goal or objective is satisfied. This step will facilitate your testing of the indices of performances to see if they truly reflect what you mean by the goal or objective and thus assist you in communicating your thought.

STEP 5 Test each appropriate statement in order to determine if it is a goal, an objective, or neither. See Figure 1.1

A. Apply the criteria for the determination of goals to each statement that appears to be a goal. A "no" answer disqualifies the statement as a goal.

Figure 1.1

GOAL CRITERIA	STATEMENT A	STATEMENT B	OTHER
Is the expected outcome in agreement with the institution's philosophy?	YES__ NO__	YES__ NO__	YES__ NO__
Is the outcome compatible with the aims and missions of the institution?	YES__ NO__	YES__ NO__	YES__ NO__
Can objectives be established for the statement?	YES__ NO__	YES__ NO__	YES__ NO__
Does the action appear to be feasible?	YES__ NO__	YES__ NO__	YES__ NO__
Can the expected results of the action be identified?	YES__ NO__	YES__ NO__	YES__ NO__
Is the time frame long-term?	YES__ NO__	YES__ NO__	YES__ NO__

Thus each goal statement will reflect a 100% "yes" response for all the criterial questions.

B. After tentative goals have been identified, apply each statement that appears to be an objective to the objective criteria, see Figure 1.2. A "no" answer disqualifies the statement as an objective. Thus each objective statement will reflect a 100% "yes" response for all the criteria questions.

STEP 6 Rewrite a list of goals and objectives—each on a separate page. Look at your wording, qualify and explain specifically what you mean. The qualification for your goal statement will, by nature, not be as precise as your objective statements. Your goal statement will probably in many cases be qualified by a narrative response. However, the qualification for the objective statements must be precise.

However, the qualification for the objective statements must be precise. For example, identify the specific method of measurement, establish the criteria, specify the time period, etc.

CRITERIA FOR THE DETERMINATION OF OBJECTIVES

OBJECTIVE CRITERIA	STATEMENT A	STATEMENT B	OTHER
Does the statement relate to a goal?	YES...NO...	YES...NO...	YES...NO...
Is the end result measurable or observable?	YES...NO...	YES...NO...	YES...NO...
Can a specific target group be identified?	YES...NO...	YES...NO...	YES...NO...
Can the method of measurement be specified?	YES...NO...	YES...NO...	YES...NO...
Can the criteria for evaluation be identified?	YES...NO...	YES...NO...	YES...NO...
Can the testing conditions be recognized?	YES...NO...	YES ..NO...	YES...NO...
Can a short time period for achievement be specified?	YES...NO...	YES...NO...	YES...NO...

STEP 7 Test each goal and objective with the question. If someone achieved or demonstrated the specified indices of performances for each goal or objective, would we be willing to say that he has achieved the goal or objective: When you can answer "Yes" to each statement. this stage of goal and objective analysis is completed.

STAGE II — INCUBATION AND REVIEW PERIOD

STEP 1 Set aside what you have done in Stage I for a few days.

STEP 2 Review what you have done. Delete duplication and unwanted items, add others and finally, retest each goal and objective. Redraft your list.

STEP 3 Review what you have done with your associates. Can you communicate your goal and objective to them? If not, revise. When this draft is completed, you are ready for Stage III.

APPENDIX 1

STAGE III THE CONTRACT STAGE

STEP 1 Sit down with your department or division head and agree in writing what your goals and objectives will be and what measure of performance will be acceptable as to whether you attain your goals and objectives. Where necessary, revise.

STEP 2 Review the progress of goals and objectives with your department or division head on a regular basis throughout the budget year.

STEP 3 Have a formal review period with your department or division head at the end of the goals and objectives time frame. Did you or did you not attain your objectives and make progress toward your goals? Explain in writing.

STEP 4 Start with Stage I for the next budget period.

When foregoing Stages (I, II, and III) are completed, a budgetary unit should have a workable list of goals and objectives that can be used for evaluation purposes in a program budgeting process.

Peoples College
Form No. 3

STATEMENT OF MISSION

Peoples College is a long-established private institution intending to provide low-cost, career-oriented educational opportunities at the baccalaureate level for students who live within 300 miles of the campus. Governance of the institution reflects the broad spectrum of society. Special emphasis is given to the paramedical and business support curricula.

The college will not attempt to provide residence facilities for more than 40% of its enrollment.

A six-month internship is sought for each student as part of the requirement for graduation.

Beyond the first three sentences above, which briefly state the mission of the college, succeeding statements are in a sense declarations of policy in *support* of the basic mission statement. Consistent policy statements often represent a de facto statement of goals and objectives.

It is appropriate to review the policy statements prepared as Form No. 2 to see if they are compatible with the institution's mission. No mention is made in this mission statement about the role of research, but the public service function is implied. Some statement should be made concerning the research and public service functions as well as other areas.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

EXAMPLES OF PLANS

SAMPLE GOALS FOR A COMMUNITY COLLEGE

The purpose of this Community College is to fill the gap in educational opportunity between high school and the senior college and university. In carrying out this role, community colleges offer occupational, academic, and cultural education and training opportunities from basic education through the two-year college level, at a convenient time and place and at a minimal cost, to anyone of suitable age who can learn and whose needs can be met by the school.

Consistent with this purpose the following goals have been established:

1) To open the door to all persons of suitable age, who show an interest in and who can profit from the instruction offered, with no individual denied an educational opportunity because of race, sex, or creed.
2) To provide a variety of quality post-secondary educational opportunities at less than baccalaureate level and consistent with the abilities, desires, and needs of the students to fit them with the skills, competencies, knowledge, and attitudes necessary in a competitive society.
3) To provide for industry, agriculture, business, government, and service occupations the pre-service and in-service manpower training which requires less than baccalaureate level preparation.
4) To provide specific training programs designed to assist in fostering and inducing orderly accelerated economic growth in the area.
5) To provide activities and learning opportunities which meet the adult educational and community service needs of the residents of the community.
6) To direct the resources of the school toward a search for solutions to urgent community problems.
7) To provide, in both curriculum and non-curriculum programs, the education needed to assist individuals in developing social and economic competence and in achieving self-fulfillment.
8) To improve the service of the institution and the quality of the education and training opportunites through constant evaluation and study.

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 88.

SAMPLE ROLE AND MISSION STATEMENT

BOWLING GREEN STATE UNIVERSITY

THE ACADEMIC OBJECTIVES

It is the aim of the University to provide each student a climate which motivates intellectual and moral growth, promotes habits of mental and physical health, encourages appreciation of the good and beautiful, and develops powers of judgment and wisdom in handling knowledge and skills. This aim can best be furthered by a conscientious search for truth with respect for the beliefs of all persons but without prejudice toward any specific doctrine or creed. The extent to which these aims are fulfilled depends largely upon the character of the faculty and the philosophical milieu of the institution. For this reason the University seeks to select and provide highly qualified faculty members who can help achieve these goals.

In addition, the University insists upon the achievement by every student of a reasonable mastery of the skills of reading, writing, speaking, and thinking including problem solving and critical and creative thought.

Further, the University seeks to guide each student to a meaningful experience in American culture as well as in major areas of basic knowledge such as science and mathematics, social and economic studies, the humanities, and the arts.

Finally, it is the aim of the University to provide for each student significant programs of in-depth study which are conducive to an understanding of the contemporary world.

THE UNIVERSITY

Bowling Green State University is state-assisted. Private support is administered through the University Development Council in conjunction with the Bowling Green University Foundation, Inc. The main campus is located in Bowling Green, Ohio, 23 miles south of Toledo and 15 miles south of the Ohio Turnpike. The University also provides the first two years of college in academic centers in Bryan, Fostoria, and Fremont and in the Firelands Branch located near Sandusky.

THE HISTORY

The history of the University began on January 24, 1910, when John Hamilton Lowry, representative from Henry County, introduced a bill in the Ohio General Assembly "to provide for the appointment of a commission to establish two normal schools and to provide for the maintenance thereof."

The bill was passed on May 10, 1910, and approved by Governor Judson Harmon nine days later. On November 22 of that year, the city of Bowling Green was officially notified that it had been chosen as the site for the normal school to be located in northwest Ohio.

Classwork began in September of 1914; but it was not until the following year that the first two buildings — now University Hall and Williams Hall — were ready for use. In the meantime, classes met in the Armory in Bowling Green and the old Central High School in Toledo.

The General Assembly of Ohio in 1929 enacted legislation which brought about a significant expansion in the functions of the institution at Bowling Green, from those of a normal school to a college and then to a University with facilities for a four-year liberal arts education, professional and pre-professional education, and graduate study.

ACCREDITATION AND RECOGNITION

Accreditation is accorded the University by the appropriate regional and national agencies. Each college and many departments are accredited in their respective fields.

The University is recognized by the Ohio State Department of Education for certification in all fields of teaching, school supervision, and administration for which the University conducts programs.

THE CAMPUS

Bowling Green State University is situated on a 1,200-acre campus which has over 90 academic buildings and residence halls and recreational facilities to provide for the intellectual, professional, and cultural growth of a student.

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), pp. 89-90.

CAMPUS EXPANSION

The University has completed an extended study resulting in the adoption of a flexible land-use plan. In this plan, the relationship of the physical plant to the academic needs of a growing student population has been examined, and priorities have been established for orderly growth. The following buildings have been conceived and planned as part of the University's long-range, land-use plan:

University Library. A nine-story, $4.6 million Library is the focal point of the academic community. The design, terraced grounds, open stacks, reading lounges, study carrels, and seminar rooms have been planned to encourage independent study. The Library has a capacity of 640,000 volumes. Present holdings are 364,127 volumes, 200,000 government documents, 242,000 microforms, and 3,000 periodicals.

Science Research Complex. The University has undertaken the planning and construction of a science-research complex in five phases. Overman Hall formed the nucleus, and the Life Science Building formed the first phase. Completed in 1969, the Psychology Building and the Science-Mathematics Lecture Building are the second and third phases.

Education-General Classroom Building. A five-story, $1.9 million building furnishes classrooms, laboratories, and offices for the College of Education, the research and development programs of the Department of Education, and the University's Instructional Media Center. The new building is situated on the west end of the Library Mall.

Student Medical Center.* A $1.5 million health center, with 100 beds and out-patient services, is designed for maximum flexibility in meeting the health service and health education needs of a growing student population.

Student Services Building.* Designed to reinforce vital student government, the $1.9 million Student Services Building houses offices and meeting rooms for student organizations, the Dean of Students and his staff, and various other services including the International Student Center and bookstore. It is centrally located on the campus and features dramatic circular design.

Stadium and Track.* The football stadium with a seating capacity of 22,370, also has six classrooms and 30 offices as well as team equipment storage facilities. The adjacent all-weather, quarter-mile track and stadium are served by a 4,000-car parking lot.

Ice Arena.* The indoor ice arena has three separate sheets of ice for hockey, figure skating, and curling. The hockey rink has a seating capacity for approximately 3,000. The arena provides facilities for health and physical education classes, intramural programs, exhibition hockey, and recreation for students and the public.

College of Business Administration Building. A three-story $2.39 million structure in the core of the academic area provides classrooms, lecture rooms, seminars and offices along with computer training capabilities for undergraduate and graduate students.

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* Constructed, equipped, and operated without tax funds.

Environmental Assumptions

The Futures-Creating Paradigm (AASCU 1978), developed by the Resource Center for Planned Change, suggests a way of formatting information so that it addresses the question: To what extent does the academic program reflect the mission, role, and scope of the institution? Step 6 in the *Paradigm* provides a methodology for testing the compatability of program objectives with an institution's mission and with objectives of other programs.

The Futures-Creating Paradigm is also useful in helping an institution understand trends that may influence its future. Steps 1 and 2 of the *Paradigm* deal with developing information about trends and shifts in values. Steps 3 and 4 describe a methodology to determine the relationship of developing trends and shifts in values with the institution's education program.

Numerous forms have been developed to compile trend information. Excerpts from the *College Planning Cycle: People Resource Process* (NACUBO 1975) are included here. Using the mythical People's College to provide an example, assumptions both internal and external have been developed followed by supporting statistical data and trend information (for example, income projections) that provide a foundation for planning for the future.

Peoples College
Form No. 1

ENVIRONMENTAL ASSUMPTIONS—A. EXTERNAL

1. *International Situation*—There will be no major war in the period from 1978 to 1983. Occasional minor conflicts are likely in such places as the Middle East, Asia, and South America. These conflicts will maintain a continuing state of unease with attendant high defense budgets.
   Stabilization of the dollar in international money markets of interest to Peoples College will be accomplished gradually during the next few years.
2. *Price of Goods and Services*—Other than food and energy, prices will rise at a rate of between 5% and 6% in each of the five years. Food prices will begin to follow the rest of the economy early in the period. Energy prices, including gas and electricity, will increase sharply: electricity as much as 40% in the five years; gas, 100%.
3. *National Faculty Salary Trends*—With a shift to a buyer's market, except in a few special fields, national faculty salary and benefit increases will tend to follow at or slightly below the increase in the cost of living.

Other external factors about which statements of environmental assumption should be prepared include, but are not limited to:

National attitudes toward higher education
Competition in private vs. public higher education
Continuing education
Federal programs
Tuition
Civil disobedience
Interest in ecology
Private support of colleges
Crime on campus
Capital campaigns
Construction price index
National and regional enrollment trends
Alternative education patterns
Technological influences
Economic environment
State aid to private higher education

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

Peoples College
Form No. 1
(continued)

ENVIRONMENTAL ASSUMPTIONS—B. INTERNAL

1. *Student Interest in Foreign Study*—Continued interest in foreign study is expected. Some decline in participation in the Peoples College Consortium Program in Rome is expected because of increasing travel costs.
2. *Student Enrollment*—Barring successful efforts to recruit junior and community college transfer students, the enrollment of Peoples College is expected to remain constant for the next five years. (A detailed projection is included with the supporting statistical data.)
3. *Continuing Education*—Community interest in continuing education courses at Peoples College is expected to grow rapidly. This is particularly true of those programs in business, banking, and medical technology.

Other internal factors that might be included in assumptions regarding the internal or immediate college environment are:

- Unionization
- Fringe benefits and salaries
- Student aid
- Capital campaign likelihood
- Campus morale
- Local labor market
- Admissions effectiveness
- Gift anticipation

Peoples College
Form No. 1
(continued)

ENVIRONMENTAL ASSUMPTIONS—C. SUPPORTING STATISTICAL DATA

1. *Student Retention:*

Percentage of original freshman class at Peoples College who return as

Class of	Sophomores	Juniors	Seniors
1972	90.4	65.8	74.5
1973	82.4	60.9	59.5
1974	86.2	66.4	62.0
1975	89.1	59.7	63.0
1976	79.0	61.3	
1977	80.3		

2. *Student Fees:*

Year	Tuition	Percent Increase	Cost of Living Increase
1971-72	$2,000	—	4.5%
1972-73	2,100	5.0%	3.5%
1973-74	2,200	4.8%	8.0%
1974-75	2,300	4.5%	10.1%

3. *Selectivity of Admission Process:*

Year	A. Applied	B. Admitted	C. Matriculated	D. (B/A)	E. (C/B)
1971	978	732	380	.75	.52
1972	953	611	358	.64	.59
1973	824	682	376	.82	.55
1974	615	537	292	.87	.54

Supporting statistical data depend in large part on the environmental assumptions selected for emphasis. Logical items might include:

- Public vs. private tuition
- Source of income
- AAUP salary information
- Student/faculty ratio
- Tenured/nontenured faculty ratio
- Expenditures per student
- Public vs. private enrollments

More detailed information that follows from Form 1 is presented below, specifically with regard to estimates of revenue availability for Peoples College.

The five years which lie ahead appear to be years of struggle for the private sector of higher education—especially the small, liberal arts college. Enrollments continue to drift downward and the over-built public institutions are exacerbating the situation by aggressively seeking new students. Public institutions are also proving to be good fund raisers from private donors and have enjoyed relatively better success in the past several years than have private institutions where fund-raising levels have plateaued. The difference in cost between private and public institutions (now about $1,600 annually) will likely continue to increase and will move an even higher percentage of students to public institutions.

Peoples is stronger than the average private college. It is blessed with an exceptional location and a broad support base from alumni, friends, and foundations. It has a gifted student body and an unusually well-qualified faculty. Even with these assets, however, the next five years will challenge the ingenuity and endurance of the governing board, administration, and faculty.

Specific assumptions about the future on which these forecasts are based are:

Income from Students

1. It is assumed that Peoples can attract and that the Admissions Office can enroll 625 new students annually (total of new freshmen and new transfers) through the planning period.
2. It is assumed that the projected new student enrollment and the returning student enrollment can be maintained with the present or a lower level of student financial aid *less* the amount terminated through EOG's as a result of the federal switch to BEOG's.
3. The projected retention rates for returning classes assume a slowly improving situation.
4. At the end of the planning period, the retention rates used would be approximately the midpoint between the minimum and the average retention rates by class for the last ten years.
5. Tuition will be increased by at least the rate of inflation in the planning period, reaching a high of $3,000 annually in 1978-79.

Endowment Income

1. It is assumed that a capital fund effort will be launched in the spring of 1976 and will produce additional endowment funds. The income projections in this exhibit assume the following "new money" additions to endowment:

	Unrestricted	*Restricted*
1975-1976	$10,000	$ 25,000
1976-1977	25,000	800,000
1977-1978	50,000	1,000,000
1978-1979	25,000	500,000
1979-1980	25,000	150,000

2. It is assumed that Peoples endowment funds will be managed on a total return concept. The formula for budget purposes will assume a yield on market value (3-year moving average) of 6.0 percent. The actual averages (geometric) for Peoples endowment on a total return basis from 1969 to 1974 were: for five years, 4.67 percent; for three years, 12.91 percent; for one year, 2.17 percent.

Gift Income

1. Gifts for the support of the current budget which do not require a corresponding increase in expenditures will be increasingly difficult to obtain during the next five years.
2. Alumni giving for the annual budget will continue to increase until it reaches a level of approximately $200,000, where it will plateau.
3. Federal support for higher education—especially for the four-year liberal arts college—will decrease during the planning period. Financial aid funds will be assigned directly to students and will be out of the control of institutions.
4. Beginning in 1975-1976 funds generated by the capital fund campaign will be used to cover a portion of the cost of fundraising, recordkeeping and processing. These funds will be used to support the current operating budget and will be recorded as "other restricted income."

Auxiliary Enterprises

1. Dormitory occupancy for each year in the planning period will be maintained at a 90 percent or better level.
2. Cash payments to high-need students to pay room and board off the campus will be discontinued.
3. Auxiliary enterprises charges will be gradually increased to produce sufficient revenues to cover all costs associated with the operation of the dormitories and dining commons.

Peoples College

FIVE-YEAR INCOME PROJECTIONS

	1975-1976	1976-1977	1977-1978	1978-1979	1979-1980
Educational and General					
Income from Students					
Tuition	$4,276,244	$4,493,000	$4,634,496	$4,966,656	$ 5,155,200
Fees	58,000	165,000	170,000	177,000	185,500
Total	$4,334,224	$4,658,000	$4,804,496	$5,143,656	$ 5,340,700
Endowment Income					
Unrestricted	$ 66,510	$ 58,604	$ 60,414	$ 63,400	$ 66,385
Restricted	1,534,629	1,553,287	1,605,655	1,677,629	1,736,604
Total	$1,601,139	$1,611,891	$1,666,069	$1,741,029	$ 1,802,989
Gift Income					
Unrestricted	$ 515,000	$ 551,000	$ 587,000	$ 615,000	$ 610,000
Restricted	1,130,000	1,134,000	1,094,000	989,000	959,000
Total	$1,645,000	$1,685,000	$1,681,000	$1,604,000	$ 1,569,000
Recovery of Indirect Costs	$ 45,000	$ 45,000	$ 35,000	$ 35,000	$ 35,000
Organized Activities	$ 15,000	$ 20,000	$ 15,000	$ 15,000	$ 15,000
Other Sources	$ 90,000	$ 97,000	$ 95,000	$ 95,000	$ 75,000
Total Educ. & Gen.	$7,730,363	$8,116,891	$8,296,565	$8,633,685	$ 8,837,689
Auxiliary Enterprises					
Residence Halls	$ 500,000	$ 567,100	$ 588,000	$ 618,750	$ 650,000
Food Services	560,000	588,400	591,500	575,000	659,750
Vending Machines	3,000	3,500	3,500	3,500	3,500
Game Room	5,000	5,000	6,000	6,000	6,000
Rent of Facilities	57,000	30,000	28,000	28,000	28,000
Total Aux. Enter.	$1,125,000	$1,194,000	$1,217,000	$1,231,250	$ 1,347,250
Estimated Charges-Fund Balance	$ 100,000	$ 71,609	$ 25,000	$ —	$ —
Grand Total	$8,955,363	$9,382,500	$9,538,565	$9,864,935	$10,184,939
Percent Increase		4.76%	1.66%	3.42%	3.24%

INCOME FROM TUITION AND FEES

	1975-1976	Retention rate (%)	1976-1977	Retention rate (%)	1977-1978	Retention rate (%)	1978-1979	Retention rate (%)	1979-1980
Tuition									
Freshmen	640		650		625		625		625
Sophomores	490	(76)	486	(77)	501	(78)	488	(79)	494
Juniors	411	(78)	386	(79)	390	(80)	401	(81)	396
Seniors	295	(62)	262	(62)	252	(63)	246	(64)	257
Specials	42		40		40		40		40
Head Count	1,878		1,824		1,808		1,800		1,812
FTE	1,856		1,800		1,788		1,784		1,790
Tuition Rate	$ 2,400		$ 2,600		$ 2,700		$ 2,900		$ 3,000
Total Tuition Income	4,454,400		4,680,000		4,827,600		5,173,600		5,370,000
4% Discount (2nd Term)	178,176		187,000		193,104		206,944		214,800
Budget Figure	$4,276,224		$4,493,000		$4,634,496		$4,966,656		$5,155,200
Fees									
Applied Music	$ 18,000		$ 18,000		$ 17,000		$ 17,000		$ 17,500
Application	14,000		14,000		14,000		15,000		15,000
Library Fines	1,000		1,000		1,000		1,000		1,000
Children's Center	17,000		17,000		18,000		18,000		19,000
Transcripts	5,000		5,000		5,000		5,000		5,000
Miscellaneous	3,000		10,000		8,000		8,000		8,000
Budget Figure	$ 58,000		$ 65,000		$ 63,000		$ 64,000		$ 65,500
Summer School	$ —		$ 100,000		$ 107,000		$ 113,000		$ 120,000
Total Tuition and Fee Income	$4,334,224		$4,658,000		$4,804,496		$5,143,656		$5,340,700

INCOME FROM ENDOWMENT
TOTAL RETURN—6 PERCENT OF 3-YEAR MOVING AVERAGE

Year **Unit Value**	**1975-1976** (11.60)	**1976-1977** (11.70)	**1977-1978** (11.90)	**1978-1979** (12.20)	**1979-1980** (12.30)
General Endowment					
Unrestricted:					
Principal (Mkt.)	$ 1,108,501	$ 976,740	$ 1,006,909	$ 1,056,667	$ 1,106,425
Income	66,510	58,604	60,414	63,400	66,385
Restricted:					
Principal (Mkt.)	$ 2,266,642	$ 2,524,249	$ 3,138,071	$ 3,943,029	$ 4,531,320
Income	135,998	151,454	188,284	236,581	271,879
Endowment Held Separately					
Principal (Mkt.)	$15,620,398	$15,571,030	$15,970,020	$16,066,287	$16,335,555
Income	931,667	934,261	947,821	963,977	980,133
Quasi-Endowments					
Principal (Mkt.)	$ 6,449,409	$ 6,359,543	$ 6,375,846	$ 6,484,525	$ 6,593,204
Income	381,964	381,572	382,550	389,071	395,592
Funds in Trust W/Others					
Principal (Book)	$ 453,019	$ 453,019	$ 453,019	$ 453,019	$ 453,019
Principal (Mkt.)	5,064,166	5,164,500	5,350,000	5,800,000	5,950,000
Income	85,000	86,000	87,000	88,000	89,000
Total Market Value	$30,509,116	$30,596,062	$31,840,846	$33,350,508	$34,516,504
Income Totals for Budget					
General Endowment:					
Unrestricted	$ 66,510	$ 58,604	$ 60,414	$ 63,400	$ 66,385
Restricted	135,998	151,454	188,284	236,581	271,879
Separate Endowment	931,667	934,261	947,821	963,977	980,133
Quasi-Endowments	381,964	381,572	382,550	389,071	395,592
In Trust with Others	85,000	86,000	87,000	88,000	89,000
Total Income	$ 1,601,139	$ 1,611,891	$ 1,666,069	$ 1,741,029	$ 1,802,989

Peoples College

GIFTS FOR CURRENT FUND OPERATION

	1975-1976	1976-1977	1977-1978	1978-1979	1979-1980
Unrestricted					
Alumni	$ 125,000	$ 150,000	$ 175,000	$ 200,000	$ 210,000
Friends	40,000	45,000	50,000	50,000	50,000
Parents	20,000	20,000	20,000	20,000	25,000
Churches	10,000	10,000	10,000	10,000	10,000
Organizations	15,000	15,000	15,000	15,000	15,000
Corporations	10,000	15,000	20,000	20,000	20,000
Foundations	220,000	225,000	225,000	225,000	200,000
Private College Fund	75,000	71,000	72,000	75,000	80,000
Subtotal	$ 515,000	$ 551,000	$ 587,000	$ 615,000	$ 610,000
Restricted					
Friends	$ 125,000	$ 150,000	$ 160,000	$ 160,000	$ 160,000
Foundations	16,500	19,000	19,000	19,000	19,000
Federal Grants	225,000	230,000	235,000	235,000	200,000
Research Grants	50,000	50,000	50,000	50,000	50,000
Training Grants	25,000	25,000	25,000	25,000	25,000
Deferred Gifts	82,500	75,000	70,000	65,000	85,000
Other	50,000	60,000	60,000	60,000	50,000
Subtotal	$ 574,000	$ 609,000	$ 619,000	$ 614,000	$ 589,000
Student Aid					
Foundations	$ 65,000	$ 65,000	$ 65,000	$ 65,000	$ 70,000
HEW—Work Study	97,000	200,000	210,000	210,000	200,000
—EOG	304,000	165,000	100,000	—	—
Other	90,000	95,000	100,000	100,000	100,000
Subtotal	$ 556,000	$ 525,000	$ 475,000	$ 375,000	$ 370,000
Grand Total	$1,645,000	$1,685,000	$1,681,000	$1,604,000	$1,569,000
Percentage increase (decrease)	8.05%	2.43%	(0.02%)	1.45%	(2.18%)

Prepared by__________________________________

AUXILIARY ENTERPRISES INCOME

	1975-1976	1976-1977	1977-1978	1978-1979	1979-1980
Residence Halls					
Income	$ 500,000	$ 557,100	$ 588,000	$ 618,750	$ 650,000
Expense	346,105	548,000	583,000	663,000	715,000
Net	$ 153,895	$ 9,100	$ 5,000	$ (44,250)	$ (65,000)
Food Services					
Income	$ 560,000	$ 598,400	$ 591,500	$ 575,000	$ 659,750
Expense	542,900	525,000	595,000	603,000	643,000
Net	$ 17,100	$ 73,400	$ (3,500)	$ (28,000)	$ 16,750
Other Services					
Income:					
Vending	$ 3,000	$ 3,500	$ 3,500	$ 3,500	$ 3,500
Game Room	5,000	5,000	6,000	6,000	6,000
Facilities Rent	57,000	30,000	28,000	28,000	28,000
Total	$ 65,000	$ 38,500	$ 37,500	$ 37,500	$ 37,500
Expense:					
Vending	$ 2,000	$ 2,000	$ 2,000	$ 2,500	$ 2,500
Game Room	3,000	3,000	3,000	3,500	3,500
Facilities Rent	5,000	10,000	10,000	12,000	12,000
Total	$ 10,000	$ 15,000	$ 15,000	$ 18,000	$ 18,000
Net	$ 55,000	$ 23,500	$ 22,500	$ 19,500	$ 19,500
Total Income	$1,125,000	$1,194,000	$1,217,000	$1,231,250	$1,347,250
Total Expense	899,005	1,088,000	1,193,000	1,284,000	1,376,000
Net	$ 225,995	$ 106,000	$ 24,000	$ (52,750)	$ (28,750)
Debt Service	170,995	171,000	171,000	171,000	171,000
Reserve Fund	30,000	92,000	92,000	92,000	92,000
Available for Budget	$ 25,000	$ (157,000)	$ (239,000)	$ (315,750)	$ (291,750)
Rates:					
Room	$ 510	$ 540	$ 600	$ 625	$ 650
Board	510	580	600	575	650
Total	$ 1,020	$ 1,120	$ 1,200	$ 1,200	$ 1,300
No. of Roomers	980	1,031	980	990	1,000
No. of Boarders	1,018	1,031	986	1,000	1,015

Peoples College

STATEMENT OF CASH ON HAND
January 1975

	Bank Balance	Deposits		Transfer from Trust	Bank Note or Investment Matured	Accounts Payable Expense Checks	Payroll Checks	Ledger Balance
		Cash Gift	Non-Gift					
1.	$269,034.89	$	$	$	$	$	$	($ 96,927.22)
2.	206,869.52	776.00	24,962.95					(71,188.27)
3.	129,515.90					191,295.56		(262,483.83)
4.	37,373.67	849.77	12,502.72					(249,131.34)
5.	16,843.65		2,264.43				32,607.89	(279,474.80)
8.	17,833.79	570.00	4,095.37					(274,809.43)
9.	11,675.02	3,770.00	33,293.33	90,000.00*	100,000.00**	66,074.77		(113,820.89)
10.	184,848.32		8,384.56					(105,436.31)
11.	175,747.02	999.46	15,408.56					(89,028.84)
12.	157,139.16		2,707.84					(86,321.00)
15.	177 304.21		2,727.05					(83,593.95)
16.	167,911.90		6,823.83					(76,770.12)
17.	164,259.34		7,454.82			285,101.89		(354,417.19)
18.	156,798.88		2,968.88					(351,448.31)
19.	106,302.06		21,556.05				32,706.04	(362,598.30)
22.	Holiday		2,478.70					(360,119.60)
23.	103,834.68		3,904.23					(356,215.37)
24.	89,342.02		3,248.90			122,910.99		(475,877.46)
25.	46,094.37	11.971.18	2,730.25					(461,176.03)
26.	27,779.82		1,669.26					(459,506.77)
29.	29,874.93		11,726.31	25,000.00*				(422,780.46)
30.	46,188.94		4,968.64					(417,811.82)
31.	20,178.42		6,219.32	10,426.62*		110,332.16	238,986.60	(750,484.96)

* Endowment Income

** Note

Student Needs Assessment

Numerous instruments have been developed to help institutions assess student needs and evaluate how well the programs respond to those needs. The instruments that follow are the result of a collaborative effort by NCHEMS and the College Board in which over 100 instruments were examined. After compiling and analyzing instrument items, three basic questionnaires were developed. The questionnaire about institutional needs assessment appeared earlier in this section. (See page 17.) The following questionnaires deal with assessing the needs of (1) potential student clients for a given institution and (2) community agencies and organizations. The questionnaires provide descriptive information about an institution at a particular time; this can contribute to decisions about the school's future directions.

SAMPLE: INSTRUMENT A

STUDENT NEEDS ASSESSMENT

PURPOSE: To Assess the Needs of Potential Student Clients for a Given Institution

Source: JoAn S. Segal and Roger G. Sell, "Needs Assessment Information System", paper prepared in conjunction with the College Board for NCHEMS training seminars, August 1978.

INSTRUCTIONS:

Specific directions are given for completing many of the questions in this questionnaire. Where no directions are given, please circle the number or letter of the most appropriate response, such as in the sample question below.

Sample.

A Are you currently married?

0 Yes
1 No

If you are not currently married, you would circle the number 1.

1. What is your sex?

0 Female 1 Male

2. How do you describe yourself? Circle one.

0 American Indian or Alaskan Native
1 Asian, Pacific Islander, or Filipino
2 Black or Afro-American
3 Hispanic, Chicano, or Spanish-speaking American
4 White or Caucasian
5 Other ______________________________

3. How old are you?

0 Under 18
1 18 to 22 years
2 23 to 25 years
3 26 to 30 years
4 31 to 40 years
5 41 to 50 years
6 51 to 60 years
7 61 years or more

4. Are you currently married?

0 Yes 1 No

5. Do you feel that you have a permanent handicap? Circle all that apply.

0 No
1 Yes, restricted mobility
2 Yes, restricted hearing
3 Yes, restricted vision
4 Yes, but I prefer not to record it on this form
5 Other ______________________________

6. What is the Postal Service Zip code at the place you consider to be your current residence?

7. The following list gives the reasons why people would seek out education or training after high school. Which would apply to you?

Academic Reasons

A To increase my knowledge and understanding in an academic field
B To obtain a certificate or degree
C To complete courses necessary to transfer to another educational institution
D Other ______________________________

Career-Preparation Reasons

E To discover my career interests
F To formulate long-term career plans and/or goals
G To prepare for a new career
H Other ______________________________

Job or Career-Improvement Reasons

I To improve my knowledge, technical skills, and/or competencies required for my job or career
J To increase my chances for a raise and/or promotion
K Other ______________________________

Social- and Cultural-Participation Reasons

L To become actively involved in student life and campus activities

M To increase my participation in cultural and social events

N To meet people

O Other ____

Personal-Development and Enrichment Reasons

P To increase my self-confidence

Q To improve my leadership skills

R To improve my ability to get along with others

S To learn skills that will enrich my daily life or make me a more complete person

T To develop my ability to be independent, self-reliant, and adaptable

U Other ____

Family Reasons

1 To be a better parent

2 To deal with brothers and sisters better

3 To learn how to solve family problems

4 To cope with aging parents

5 To manage home finances better

6 To be a better homemaker

7 To improve your marriage

8 Other ____

Civic Reasons

9 To learn more about how to solve community problems

10 To learn more about community affairs and public issues

11 To contribute to the government of your town, state, or country

12 Other ____

Leasure or Recreational Reasons

13 To improve skill in a sport

14 To learn about a hobby, such as stamp or coin collecting

15 To learn to play a musical instrument

16 To acquire skill in dancing or acting

17 To appreciate art, literature, or music more intelligently

18 Other ____

8. From the list of reasons why people might seek education or training after high school in Question 7, please select the three that you would think are more important and enter their codes below. For example, if you think that the most important reason would be "to obtain a degree or certificate," enter the letter B in the first box.

Most Important ☐ Second Most Important ☐ Third Most Important ☐

9. The following list gives some of the subject areas that people study after high school. Please check all of those which are areas that you think you might like to take.

(list to come)

10. From this list of subject areas please select the three that are the most interesting to you and enter their codes below. For example, if you think that the thing you would most be interested in studying would be "French language or literature" enter the letter F in the first box.

Most Interesting ☐ Second Most Interesting ☐ Third Most Interesting ☐

11. If you went back to school, when would you most prefer to take classes?

0 Weekday mornings
1 Weekday afternoons
2 Weekday evenings
3 Anytime during the week
4 Anytime during the weekend
5 No preference

12. If you were to go back to school, at what season of the year would you want to take classes?

0 Spring
1 Summer
2 Fall
3 Winter
4 Year-round
5 Not year-round but no preference

13. How often would you be able to attend a session of a class or other learning activity?

0 Daily
1 Four times a week
2 Three times a week
3 Two times a week
4 Once a week
5 Twice a month
6 Once a month
7 Other ______________________

14. Some people prefer intensive time arrangements for classes while others prefer to have them spread over a longer period. Would you be interested in courses or learning activities that required you to attend

0 All day Saturday for six weeks
1 Two or three weekends
2 All day for two or three weeks continuously
3 All day and evening for one or two weeks continuously
4 All day and evening for three or four days, including one weekend
5 Other ______________________________

15. For how long a period of time would you like to continue one learning activity?

0 Two weeks
1 One month
2 Six weeks
3 Two months
4 Ten weeks
5 Three months
6 One quarter
7 One semester
8 One year
9 Other ______________________________

16. Some people have definite preferences for the way in which they learn. Which of the following would be most preferable to you?

A Independent study, for example correspondence, home study
B Directed study, such as tutorial instruction
C Directed experiental learning, for example apprenticeships, on-the-job training
D Self-directed learning, such as do-it-yourself projects
E Classes
F Small group meetings such as workshops, seminars, institutes
G Large group meetings, for example conferences, conventions, or lectures
H Demonstrations
I Trips or tours
J Action projects such as working with a committee to solve a community problem, involving students in projects in the community, etc.

17. How far would you be able to travel to take part in a learning activity which was scheduled on a regular, recurring basis (like once a week)?

1 Less than a mile
2 One to five miles
3 Six to ten miles
4 Eleven to twenty miles
5 More than twenty miles

18. In what kind of facility would you prefer to take a learning activity?

1 In a classroom
2 In an informal, seminar-type room
3 In a library
4 Outdoors
5 Where you work
6 At home
7 Other ____________________

19. If a learning activity required you to live away from home would you participate?

1 Yes, I would prefer to live away from home while learning
2 Yes, I would participate although I would not prefer to live away from home
3 No

20. Which of the following ways of learning would you prefer to learn?

1 In a situation where there was a live instructor and the opportunity for face-to-face interchange
2 In a "mediated" situation such as over television, from a tape or cassette, etc.
3 A combination of face-to-face and mediated situations

21. If there were a charge for taking a course you wanted, how much would you be willing to pay?

________ per course
________ per credit hour
________ per week
________ per month
________ per year

80

22. How would you pay the amount you indicated?

A From your current income

B From savings or other assets

C From additional employment you would take on

D From borrowing

E From some other form of financial assistance like a scholarship or grant

23. From what kind of organization would you most prefer to take a course or participate in a learning activity?

A Private instructor/tutor

B Local elementary or secondary school

C Public two-year college

D Public four-year college

E Public university

F Private college or university

G Church, synagogue, or other religious organizations

H Library or museum

I Employer

J Labor union or trade association

K Other civic, social, or voluntary association

24. Which of the following factors would be important to you in deciding where you would take a course or get a learning opportunity?

A The academic reputation

B The kinds and numbers of courses offered

C What former students said about it

D What teachers or friends said about it

E What a counselor said about it

F What my employer thought about it

G How much it cost

H How much financial assistance was available if I went there

I Its social reputation

J It was close to my home

K It was in a different location

L The kinds of services it provided in addition to the course

M There were people there I could identify with

N It was small and intimate

O It was large and anonymous

P It was the only place where the opportunity to take a course was conveniently available to me

25. Additional questions may have been added in this printed form by your college. If you have been asked to answer additional questions please use the boxes below to record your responses.

☐ ☐

A B C D E F G H I J

K L N O

Please use the space below for any comments you have about our college. This questionnaire, or anything else you care to share with us.

Please see the instructions before completing items 26 through 29.

26. Social Security Number ______________________________

27. Name

______________________ Last ______________ First ____________ Middle

28. Current address

____ Number, street, apartment, unit, etc.

______________________________ City ____________________ State

29. Telephone number

__________ Area code ______________________________ Number

SAMPLE: INSTRUMENT B

COMMUNITY NEEDS ASSESSMENT

PURPOSE: To Assess the Needs of Community Agencies and Organizations

Source: JoAn S. Segal and Roger G. Sell, "Needs Assessment Information System", paper prepared in conjunction with the College Board for NCHEMS training seminars, August 1978.

1. What type of organization do you represent?

   A. Religious organization
   B. Library
   C. Museum
   D. Labor union
   E. Professional/trade organization
   F. Civic organization
   G. Voluntary organization
   H. Fraternal organization
   I. Foundation
   J. Social or community organization

2. What percentage of your membership/constituency are?

   A. ____% Male ____% Female
   B. ____% American Indian or Alaskan Native
   ____% Asian, Pacific Islander, or Filipino
   ____% Black or Afro-American
   ____% Hispanic, Chicano, or Spanish-speaking American
   ____% White or Caucasian
   C. ____% Under 18
   ____% 18 to 22 years
   ____% 23 to 25 years
   ____% 26 to 30 years
   ____% 31 to 40 years
   ____% 41 to 50 years
   ____% 51 to 60 years
   ____% 61 years or older

3. What is the Postal Service Zip Code at the place where your organization has its primary headquarters or office?

4. How would you describe the needs of your membership/constitutency for education or training activities which would help them achieve each of the following goals?

	------This is a need of our membership which------					This is not a need of our membership
	Our organization is meeting		Some other organization is meeting		Is not being met	
	Fully	Partially	Fully	Partially		
To increase their knowledge in an academic field	☐	☐	☐	☐	☐	☐
To obtain degrees or certificates	☐	☐	☐	☐	☐	☐
To complete courses necessary for admission to a four-year college or university	☐	☐	☐	☐	☐	☐
To discover their career interests	☐	☐	☐	☐	☐	☐
To formulate long-term career plans or goals	☐	☐	☐	☐	☐	☐
To prepare for new careers	☐	☐	☐	☐	☐	☐
To improve their knowledge, technical skills, and/or competencies for their current jobs or careers	☐	☐	☐	☐	☐	☐
To increase their chances for raises or promotions	☐	☐	☐	☐	☐	☐
To become active in student life or campus activities	☐	☐	☐	☐	☐	☐
To increase their participation in cultural or social events	☐	☐	☐	☐	☐	☐
To meet people	☐	☐	☐	☐	☐	☐
To increase their self-confidence	☐	☐	☐	☐	☐	☐
To improve their leadership skills	☐	☐	☐	☐	☐	☐
To improve their ability to get along with others	☐	☐	☐	☐	☐	☐
To learn skills which will enrich their daily lives or make them more complete persons	☐	☐	☐	☐	☐	☐

(membership/constituent needs, continued)	-----This is a need of our membership which-----					This is not a need of our membership
	Our organization is meeting		Some other organization is meeting		Is not being met	
	Fully	Partially	Fully	Partially		
To develop their abilities to be independent, self-reliant and adaptable	☐	☐	☐	☐	☐	☐
To become better parents	☐	☐	☐	☐	☐	☐
To deal better with brothers and sisters	☐	☐	☐	☐	☐	☐
To learn how to solve family problems	☐	☐	☐	☐	☐	☐
To cope with aging parents	☐	☐	☐	☐	☐	☐
To manage home finances better	☐	☐	☐	☐	☐	☐
To become better homemakers	☐	☐	☐	☐	☐	☐
To improve their marriages	☐	☐	☐	☐	☐	☐
To learn more about how to solve community problems	☐	☐	☐	☐	☐	☐
To learn more about community affairs and public issues	☐	☐	☐	☐	☐	☐
To contribute to the government of our town, state, or country	☐	☐	☐	☐	☐	☐
To improve skills in a sport	☐	☐	☐	☐	☐	☐
To learn about a hobby, such as stamp or coin collecting	☐	☐	☐	☐	☐	☐
To learn to play a musical instrument	☐	☐	☐	☐	☐	☐
To acquire skill in dancing or acting	☐	☐	☐	☐	☐	☐
To appreciate art, literature, or music more intelligently	☐	☐	☐	☐	☐	☐

5. From this list of needs of your membership/constituency which might be met through education or learning activities, which would you consider to be the three most important? Enter the code of the reason in the box below. For example, if you think their greatest need would be for programs to assist them in learning how to solve family problems enter the code letter "X" in the first box.

Most Important ☐ Second most Important ☐ Third most Important ☐

6. How would you describe the needs of your membership/constituency for programs of education or training in each of the following areas?

	High	Moderate	Low	None
(List to come)				

7. From the list of subject areas, which would you consider to be the three most needed by your membership/constituency? For example, if you think that they most need training in the English language enter the code letter "X" in the first box.

Most Important ☐ Second most Important ☐ Third most Important ☐

8. When would it be most convenient for your membership/constituency to participate in education or learning activities?

0 Weekday mornings
1 Weekday afternoons
2 Weekday evenings
3 Anytime during the week
4 Weekends
5 No preference

9. What time of the year would it be most convenient for your membership/constituency to participate in education or learning activities?

0 Spring
1 Summer
2 Fall
3 Winter
4 Year-round
5 Not year-round but no preference

10. How often would your membership/constituency be able to attend a class or other learning activity?

0 Daily
1 Four times a week
2 Three times a week
3 Two times a week
4 Once a week
5 Twice a month
6 Once a month
7 Other ____________________

11. Some people prefer intensive time arrangements for classes while others prefer to have them spread over a longer period of time. What would be the preferences of your membership/constituency for courses or learning activities which would require them to attend?

	Preferred	Not preferred	No preference
All day Saturday for six weeks	☐	☐	☐
Two or three weekends	☐	☐	☐
All day for two or three weeks continuously	☐	☐	☐
All day and evening for one or two weeks continuously	☐	☐	☐
All day and evening for three or four days, including one weekend	☐	☐	☐

12. For how long a period of time would your membership/constituency be able to participate in courses or learning activities?

0 Two weeks
1 One month
2 Six weeks
3 Two months
4 Ten weeks
5 Three months
6 One quarter
7 One semester
8 One year
9 Other ______________________________

13. If there were a charge for taking a course they wanted, how much do you think your membership/constituency would be willing to pay?

$ ______ per course
$ ______ per credit hour
$ ______ per week
$ ______ per month
$ ______ per year

14. What role could your organization or agency play in providing education and learning activities for your membership/constituency? Check all that apply.

☐ Provide space to offer the program at no cost
☐ Provide staff to offer the program
☐ Provide mailing lists and access to records to help in publicizing the program
☐ Subsidize all of the costs
☐ Subsidize part of the costs
☐ Not play any role at all

15. Additional questions may have been added in this printed form by your college. If you have been asked to answer additional questions please use the boxes below to record your responses.

☐ ☐

A B C D E F G H I J K

L M N O

Please use the space below for any comments you have about our college, this questionnaire, or anything else you care to share with us.

16. Agency/organization identification

Name of agency or organization ________________________________

Name of individual completing this survey ________________________________

Title of individual ________________________________

Agency/organization mailing address ________________________________
Number, street, apartment, unit, etc.

____
City and State

Telephone number ________ ________________________
Area code Number

Additional samples of materials to support step 1 (needs assessment) can also be found in the document *Academic Planning: Four Institutional Case Studies* (Kieft 1978). The user of this document may want to refer to the following:

West Virginia University
- *WVU Organization*—Samples of Objectives (Conceptual and Operational), pp. 45-48

Assumptions and a Context for Planning

Step 2 of the planning process focuses on identifying and describing the context for planning (that is, determining the factors that influence the planning process for an individual institution). The *Handbook* (p. 16) recommends completing three types of projects before implementing the planning process:

1. Conducting institutional studies—a series of staff and faculty studies to provide information for planning and formulate a set of planning assumptions
2. Developing an education plan—a four- or five-year projection of major directions and goals for the institution
3. Writing a description of the planning process to be implemented—an account of the procedures to guide planning activities

This section provides a sampling of materials to support these three projects. In the *Handbook*, a general discussion of step 2 is on pages 16-20; pages 25-39 contain a more detailed description of the first project on conducting institutional studies. (See portions of the *Handbook* for a basic background as to what is encompassed in step 2 of the planning process.)

The following materials are neither comprehensive nor definitive. Each institution must consider its own unique needs in determining whether any of the forms are applicable or whether they should be modified to more accurately suit the purpose at hand.

Institutional Studies

The first project of step 2 is that of conducting institutional studies to assess current programs, events, and trends as well as to determine all available information to support the planning process. The objective is not only to provide information but also to formulate the assumptions under which planning will occur.

This section comprises three subsections, each of which corresponds to the institutional studies recommended in the *Handbook* (pp. 25-39):

- Current programs and resources
- Internal information
- External information

The reader should be familiar with the discussion on pages 25-39 to facilitate understanding the following materials.

Current Programs and Resources

Project 1 of the institutional studies (see pages 25-27 of the *Handbook*) describes the conduct of studies of the current programs and resources available at an institution. In general, this inventory of institutional programs and supporting resources would include not only a description of the actual program offerings and activities and current distribution of resources supporting those activities but also a description for several years past.

Institutional Studies

This would provide an historical perspective on any patterns that might have guided decisions about programs and resource allocation. As such, the inventories are not intended to account precisely for all costs relating to a specific program activity but rather to describe resources used for a particular program activity. This project would then help to establish a context for planning by furnishing an information base for programs and resources as well as a perspective as to what patterns might have been followed in the past.

Materials included for project 1 have been loosely arranged by the categories of courses/projects, personnel, facilities, and general. These categories are not entities themselves; the excerpts may include information that pertains to more than one area.

Materials for each of the subgroups are intended to provide a general format for the information that an institution may decide to collect to support the planning process. This is not to say that one particular form will specifically fit the needs of an institution. Rather, a sampling of such formats has been included to reflect the variety of information that may be deemed important for the planning process. Each institution should assess its situation and the types of information that would support its planning efforts. In doing so, the planning staff may wish to use the materials included in this section as a starting point in developing forms for collecting the necessary data to inventory current programs and resources.

Planning Form I (page 107), excerpted from the *Handbook,* shows how programs and resources might be inventoried. Additional formats from other sources are also included as well as a discussion on the NCHEMS Program Classification Structure.

Excerpts from the following sources have been used in assembling the materials for this section.

Collier, Douglas. *Program Classification Structure.* 2nd ed. Technical Report 106. Boulder, Colo.: National Center for Higher Education Management Systems [NCHEMS], 1978.

Gamso, Gary. *An Approach to Cost Studies in Small Colleges.* Boulder, Colo.: NCHEMS, 1978.

Kieft, Raymond N.; Armijo, Frank; and Bucklew, Neil S. *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation.* Boulder, Colo.: NCHEMS, 1978.

Miyataki, Glenn K., and Byers, Maureen L. *Academic Unit Planning and Management.* Technical Report 75. Boulder, Colo.: NCHEMS at Western Interstate Commission for Higher Education, 1976.

National Association of College and University Business Officers [NACUBO]. *A College Planning Cycle: People Resources Process, A Practical Guide.* Washington, D.C.: NACUBO, 1975.

Ohio University. *Program Planning Process.* Athens, Ohio: Ohio University, 1977.

Step 2—Context for Planning Institutional Studies

Materials Included in This Section

Project 1—Inventory of Current Programs and Resources

PAGE TITLE

Courses/Projects

107 Planning Form I Inventory of Programs and Resources
109 Revised Program Classification Structure
113 Academic Unit Functions
114 Function Summary Worksheet
115 Course and Project Data
116 Physics Department Course and Project Data
117 Course and Project Data Summary
118 Course and Faculty Load Data
119 Other Academic Demand

Personnel

122 Faculty Manpower Requirements (Department)
123 Faculty Manpower Requirements (Faculty Rank)
124 Faculty Assignments: Departmental Data Form
125 Distributed Faculty Salary and FTE: Departmental Data Form
126 Other Departmental Faculty: Departmental Data Form
127 Support Program: Dean of Students

Facilities

130 Academic Program Physical Facilities Inventory
131 Facility Matching Chart
132 Planned Equipment Utilization
133 Supplies and Services Needs

General

139 Ohio University: Information Assistance for Program Planning
143 Ohio University: Profile of Historical Planning Data
147 Ohio University: Program Planning Unit Historical Resource Information
151 Ohio University: Listing of Reports Distributed from the Office of Analytical Research

Courses/Projects

97

Planning Form I
Inventory of Programs and Resources

Inventory for Year: 1978-79
Planning Unit: Chemistry Department

PROGRAM ACTIVITY	RESOURCES							
	Faculty FTE	**Staff FTE (Type)**	**Budget (General Operating)**	**Teaching-Assistant FTE**	**Student-Assistance Funds**	**Equipment**	**Space Utilized**	**Grant or Specially Designated Funds**
Administration of the Department	0.25	0.50 (Clerical)				Equipment assigned to department	Office C-52	
General Chemistry	1.50		Departmental general operating budget of $22,000	No teaching assistant available	$1,000	Specific items of equipment not assignable to programs	C-53 C-54	
Organic Chemistry	0.50	0.25 (Lab technician)			2,000		C-55 C-57 C-59	
Inorganic Chemistry	0.75	0.25 (Lab technician)	Specific portions not assignable to programs		1,000	4 Typewriters 15 Balances 10 Microscopes Assorted laboratory equipment (Student-fee supported)	C-53 C-54 C-55	
Cancer Research	0.25				500		C-12	$15,000 (American Cancer Society Grant)
Total	3.25 FTE	1.00 FTE	$22,000	0.00 FTE	$4,500			$15,000

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 27.

Revised Program Classification Structure

The Handbook advises on page 26 that "The amount of detail in the inventory should be consistent with the actual way in which programs and resources are classified by the institution. A different or more detailed program classification structure should not be used, (If a different program classification structure is to be implemented as part of the planning process, one should consult the NCHEMS Program Classification Structure, 2nd ed. Collier 1978.)"

Included here is the revised program classification structure and excerpts from that document describing it briefly.

What is the PCS?

The *Program Classification Structure* is a set of categories and related definitions which allows its users to examine the operations of a postsecondary education institution as they relate to the accomplishment of that institution's objectives. Specifically, the PCS is a logical framework for arraying information in a hierarchical disaggregation of *programs,* in which a "program" is defined as an aggregation of activities serving a common set of objectives. The PCS suggests that nine major programs are carried out by postsecondary-education institutions in pursuit of their objectives (see figure 1):

1.0 Instruction
2.0 Research
3.0 Public Service
4.0 Academic Support
5.0 Student Services
6.0 Institutional Administration
7.0 Physical Plant Operations
8.0 Student Financial Support
9.0 Independent Operations

The information that may be communicated through the use of the PCS format includes information about the organization's personnel, facilities, activities, and so forth. The assignment of activities to the various categories within the PCS should be based on either the *primary intent* or the *actual intent* of the program element. The first edition of the PCS stipulated that the assignment of activities and resources to categories should be made on the basis of "primary intent" (i.e., the basic purpose or primary reason for carrying out the activity). This criterion suggests that if an activity supports multiple objectives, the primary objective should be identified and the activity classified accordingly. However, a more exact program-classification procedure would use the criterion of "actual intent." This criterion requires that when multiple objectives are supported by the same activity, the classification procedure should allocate the activity appropriately among all of the actual objectives served by the activity. The second edition of the *Program Classification Structure* recognizes either criterion as appropriate for the classification of activities and resources. In one sense, the use of "actual intent" represents a more refined and concise picture of the programmatic utilization of resources, but either criterion will result in *program information.*

What is the Role of the PCS in Planning and Management?

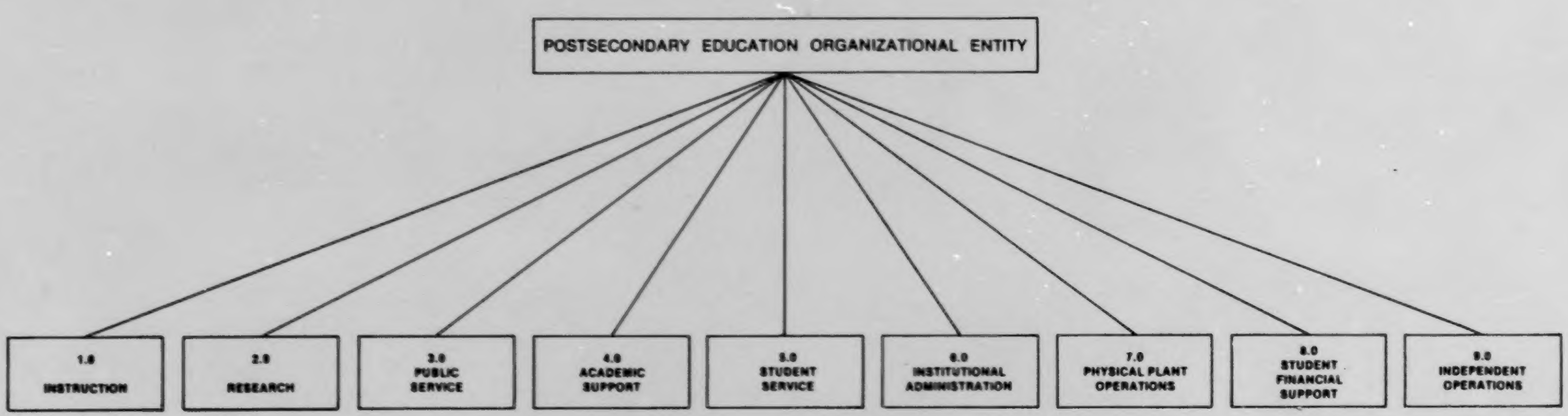
The *Program Classification Structure* has been designed to allow its users to relate information about resources and activities to the achievement of institutional objectives. This is accomplished by classifying information within a set of PCS categories that have been designed to reflect the kinds of programs that postsecondary institutions carry out to accomplish their objectives.

The role of the PCS in planning and management thus is similar to the role of programmatic information in postsecondary education. The PCS is intended to serve as:

- a framework for the analysis of different types of data
- a starting point for programmatic planning and management
- a common language and framework for describing activities in postsecondary education.

Source: Douglas Collier, *Program Classification Structure*, 2nd ed., Technical Report 106 (Boulder, Colo.: NCHEMS, 1978), pp. 2-6.

REVISED
PROGRAM CLASSIFICATION
STRUCTURE


POSTSECONDARY EDUCATION ORGANIZATIONAL ENTITY
1.0 INSTRUCTION
2.0 RESEARCH
3.0 PUBLIC SERVICE
4.0 ACADEMIC SUPPORT
5.0 STUDENT SERVICE
6.0 INSTITUTIONAL ADMINISTRATION
7.0 PHYSICAL PLANT OPERATIONS
8.0 STUDENT FINANCIAL SUPPORT
9.0 INDEPENDENT OPERATIONS

1.1 General Academic Instruction (Degree-related)
1.2 Vocational/Technical Instruction (Degree-related)
1.3 Requisite Preparatory/Remedial Instruction
1.4 General Studies (Nondegree)
1.5 Occupation-related Instruction (Nondegree)
1.6 Social Roles/Interaction Instruction (Nondegree)
1.7 Home and Family Life Instruction (Nondegree)
1.8 Personal Interest and Leisure Instruction (Nondegree)

2.1 Institutes and Research Centers
2.2 Individual or Project Research

3.1 Direct Patient Care
3.2 Health Care Supportive Services
3.3 Community Services
3.4 Cooperative Extension Services
3.5 Public Broadcasting Services

4.1 Library Services
4.2 Museums and Galleries
4.3 Educational Media Services
4.4 Academic Computing Support
4.5 Ancillary Support
4.6 Academic Administration
4.7 Course and Curriculum Development
4.8 Academic Personnel Development

5.1 Student Service Administration
5.2 Social and Cultural Development
5.3 Counseling and Career Guidance
5.4 Financial Aid Administration
5.5 Student Auxiliary Services
5.6 Intercollegiate Athletics
5.7 Student Health/Medical Services

6.1 Executive Management
6.2 Financial Management and Operations
6.3 General Administration and Logistical Service
6.4 Administrative Computing Support
6.5 Faculty and Staff Auxiliary Services
6.6 Public Relations/Development
6.7 Student Recruitment and Admissions
6.8 Student Records

7.1 Physical Plant Administration
7.2 Building Maintenance
7.3 Custodial Services
7.4 Utilities
7.5 Landscape and Ground Maintenance
7.6 Major Repairs and Renovation

8.1 Scholarships
8.2 Fellowships

9.1 Independent Operations/Institutional
9.2 Independent Operations/External Agencies

Source: Douglas Collier, *Program Classification Structure*, 2nd ed., Technical Report 106 (Boulder, Colo.: NCHEMS, 1978), p. 3.

ACADEMIC UNIT FUNCTIONS

Page ___ of ___

Institution A
HISTORY DEPARTMENT

Academic Year *1977-78*
Date *February 1, 1976*

(a) Institutional Programs	(b) Unit's Programs	(c) Functions	(d) Term		
			F	W	S
Instruction	*Undergraduate Instruction*	*History 100*	✓	✓	✓
		⋮			
		History 212		✓	✓
		History 375	✓		✓
		History 410		✓	
		⋮			
	Continuing Education	*History 100A*	✓		
		History 310A		✓	✓
Research	*Individual Research*	*Bicentennial Impact Study*	✓	✓	
Public Service	*Community Programs*	*American Heritage Seminars*	✓	✓	✓
		Community Awareness of History			✓
Student Service	*Personal Adjustment*	*Student Counseling*	✓	✓	✓
	Tutorials	*FORTRAN*	✓		
	Student Organizations	*Advising*			
Administrative Support	*Institutional Contribution*	*Standards Committee Work*	✓	✓	✓
		Presidential Selection			✓
	Department Contribution	*Faculty Recruitment*		✓	
		Committee Work	✓	✓	✓
	Planning and Management	*Budget Planning*	✓	✓	
		Resource Utilization Monitoring	✓	✓	✓

Source: Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 15.

FUNCTION SUMMARY WORKSHEET

Academic Unit: *History Department*

Module 1 Function: *History 100*

Academic Period: *Fall 1977*

Individual Responsible: *Prof. Jane Door*

Information Source	(a) Information Measures	(b) Descriptors*	(c) Planned Measures	(d) Actual Measures
Module 2	*Demand*			
	-Student	*Numbers and Student Level; Percentage and Level; Percentage of Majors*	*135 Undergraduates; 75% Freshmen/25% Soph; 70% Majors*	*132 Undergraduates; 80% Freshmen/20 Soph; 85% Majors*
Module 3	*Faculty Resource*	*Name; Rank*	*2 Full Prof., 3 Assoc. Prof., 1 Asst. Prof.,*	*Door, Wong, Marr, Crow, Santos, White*
		Percent Assignment; Contact Hours; FTE Assignment	*3 Weekly Contact Hours/Faculty*	*3 Weekly Contact Hours/Faculty*
Module 4	*Physical Resource*			
	-Facility	*Type; Room*	*C102, C104*	*C102, C104*
		Number of Stations; Assign. Sq. Ft.	*At Least 50 Each*	*75 Each*
		Hours per Week	*C102: MWF, 8-9 C104: MWF, 9-10*	*C102: MWF, 8-9 C104: MWF, 9-10*
	-Equipment	*Type; Number of Items*	*Tape Recorder; 1 Projector; 1*	*Tape Recorder; 1 Projector; 1*
		Percentage Utilization; Amount		
	-Supplies	*Type; Amount*	*Office; $100*	*Office; $100*
	-Service	*Type*	-	-
		Percent Utilization; Actual Usage Cost		
Partly From Module 2	*Activity*			
	-Mode of Instruction	*Type*	*Lecture*	*Lecture*
	-Sections	*Number*	*6*	*6*
	-Course Credit Hours	*Number*	*3*	*3*
	-Section Size	*Number*	*30*	*25*
	-Contact Hours	*Number*	*3*	*3*
Module 5	*Financial*			
	-Salaries	*Dollars*	*15,000*	*13,750*
	-Equipment	*Dollars*	-	-
	-Supplies	*Dollars*	*100*	*100*
	-Services	*Dollars*	*0*	*0*
Module 6	*Outcomes*			
	-Course Completions	*Number; Percentage Completion*	*95%*	*88%*
	-Course Evaluation	*Degree of Satisfaction with Course*	*Student Evaluation will Reflect Above Average Satisfaction*	*Student Evaluation Reflected Highest Degree Degree of Satisfaction*

*Measures may not be available for some of the descriptors illustrated here.

Source: Glenn K. Miyataki and Maureen L. Byers, *Academic Unit Planning and Management*, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 83.

Department ____________________ ____________________ COLLEGE

COURSE AND PROJECT DATA

____________ Term ____________ Year

Course or Project No.	Course or Project Title	Hours Per Week	Anticipated Enrollment	Credit Hour Value	Student Hours Per Week (D x C)	Student Credit Hours (D x E)	Preferred Section Size	Number of Sections Required (D ÷ H)	Total Hours Per Week (C x I)	Proportion of F.T.E. Faculty Per Section	No. of F.T.E. Faculty All Sections (K x I)	Preferred Rank (F. T. E.)			
												FP (1)	AP (2)	AS (3)	I (4)
A	B	C	D	E	F	G	H	I	J	K	L				
TOTALS															

NOTE: This form is to be completed for each term of the first year of the planning period only.

(1) Full Professor (F.P.)
(2) Associate Professor (A.P.)
(3) Assistant Professor (A.S.)
(4) Instructor (I)

FORM NO 104

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

Peoples College
Form No. 7

Physics Department COURSE AND PROJECT DATA

Course or Project No.	Title	Credit Hours	Class Hours Per Week	Faculty Member	No. of Students Enrolled 1973-74	SCH
07A	Intro Physics	5	5	Hyde	16	80
07AL	Intro Physics Lab	0	3	Hyde	8	—
07AL	Intro Physics Lab (2d Section)	0	3	Hyde	8	—
09	Mechanics	3	5	Hyde	21	63
09L	Mechanics Lab	0	2	Hyde	21	—
04A	Foundations of Physics	4	4	Hyde	50	200
04AL	Foundations of Physics Lab	0	1	Hyde	50	—
	Subtotal	12	23			343
04B	Foundations of Physics	4	4	Nelson	44	176
04BL	Foundations of Physics Lab	0	1	Nelson	44	—
21	Quantum Mechanics	5	4	Nelson	3	12
23	Physical Electronics	3	3	Nelson	7	21
	Subtotal	12	12			209

Etc.

This form may be prepared by the department, the registrar, or the planning assistant. Its specific format should be determined in consultation with the academic dean. Larger institutions may elect to present the data in a summarized format.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

______________________________ COLLEGE

COURSE AND PROJECT DATA SUMMARY

Year ______________________

DEPARTMENT	TERM	NUMBER OF COURSES	NUMBER OF SECTIONS	NUMBER OF PROJECTS*	STUDENT HOURS	STUDENT CREDIT HOURS	F.T.E. Faculty Required for All Purposes	PREFERRED RANK					NO. OF F.T.E. STUDENTS	STUDENT-FACULTY RATIO	AVERAGE FACULTY LOAD		F.T.E. CLERICAL STAFF	F.T.E. Other Support Personnel	F.T.E. STUDENT EMPLOYEES
								FP	AS	AP	I	NR			Credit Hrs.	% Other Use			
	First																		
	Second																		
	First																		
	Second																		
	First																		
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	Second																		
	First																		
	Second																		
TOTALS	First																		
	Second																		

NOTE: This form is to be completed for the first year of the planning period only.

*Refers to research and public service projects.

FORM NO 110

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

Peoples College
Summary Form No. 13

COURSE AND FACULTY LOAD DATA
1974-75

	A.	B.	C.	D.	E.	F.	G.	H.
Dept.	**No. of Courses**	**No. of Sections**	**Student Credit Hrs.**	**FTE Students**	**FTE Faculty**	**S/F Ratio (D/E)**	**Faculty Course Load (B/E)**	**Clerical Staff Assnd. to Dept.**
Anthro	10	10	1700	113	3	37.6	3.3	0.5
Biol	6	11	1650	110	4	27.5	2.8	1.0
Eng	12	12	2400	160	6	26.6	2.0	0.5
Phys	6	13	500	34	3.3	10.0	3.9	1.0
Span	6	6	400	26	2*	13.0	3.0	0.5*

** Does not include language assistant*

The purpose of this form is to provide some comparison of courses and other projects carried out by departments, and the efficiency with which they accomplish their programs.

Ideally, the form should reflect data for the first year of the projected five-year plan. However, with the difficulty inherent in projecting enrollments in small departments, it is probably better to do as shown above and provide an analysis of the current year.

The form, as outlined, uses only teaching to define faculty load. As research, community service, etc., are included in load definition, the form may be expanded to include these activities. As student employees are assigned to departments, it may be desirable to also reflect their presence in this summary.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

OTHER ACADEMIC DEMAND

Academic Unit: *History Department*

Academic Period: *Fall 1977*

Date: *February 7, 1976*

Noninstructional Functions	(a) Demand	(b) Sponsoring Agency	(c) Agency Contact	(d) Project Funding $	(e) Duration		(f) Outcomes/ Products Desired	(g) Faculty Resources		(h) Comments
					Start	End		Name	Expected FTE Assignment	
Bicentennial Impact Study	*.5 Faculty FTE*	*National Endowment for Humanities*	*Dr. Richard Cook, Director of Publishing 808-632-5816*	*$ 6,500*	*9/20/77*	*12/31/77*	*Book manuscript submitted to publisher*	*(To be assigned by using Module 2)*		*Oral Report to Foundation Due on 1/20/78.*
American Heritage Seminars	*35 Participants per seminar*	*State Board of Education*	*Mary Jones, Coordinator 402-173-2900*	*1,500*	*9/15/77*	*11/17/77*	*Agenda; Presentations by Door, Kowalski, Marr*			
Community Awareness of History	*25 Community Members*	*City Government*	*Mr. Farr, Community Education Coordinator 402-185-2763*	*500*	*9/25/77*	*11/17/77*	*Seminars in U.S. Minority History*			
Presidential Selection	*3 hours/mo.*	*Institutional Committee on Presidential Selection*	*Dr. Larry Maze, Chairman Ext. 7126*	*N/A*	*9/20/77*	*11/15/77*	*Recommendation of name to Board of Regents*			
Standards Commitments	*2 hours/mo.*	*University Faculty Council*	*May York, Chairperson Ext. 7223*	*N/A*	*9/20/77*	*12/31/77*	*N/A*			
Budget Planning	*.4 FTE*	-	-	-	*10/1/77*	*12/31/77*	*Tentative Unit Budget*			*Department Head, unless delegated.*

Source: Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 83.

Personnel

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____________________________ COLLEGE

FACULTY MANPOWER REQUIREMENTS

Year ________________________

DEPARTMENT	Number and Rank of F.T.E. Faculty (1)					INSTRUCTION		ACADEMIC COUNSELING		RESEARCH		PUBLIC SERVICE		ADMINISTRATION	
	FP	AP	AS	I	NR	%	FTE	%	FTE	%	FTE	%	FTE	%	FTE
TOTALS						▨		▨		▨		▨		▨	
Averages for the College	▨	▨	▨	▨	▨		▨		▨		▨		▨		▨

(1) FP = Full Professor
AP = Associate Professor
AS = Assistant Professor
I = Instructor
NR = Non-ranked Faculty

FORM NO. 111

NOTE: This form is to be completed for the first year of the planning period only.
The data used are to be an average of the terms comprising the year for which data are presented.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

______________________ COLLEGE

FACULTY MANPOWER REQUIREMENTS

Year______________________

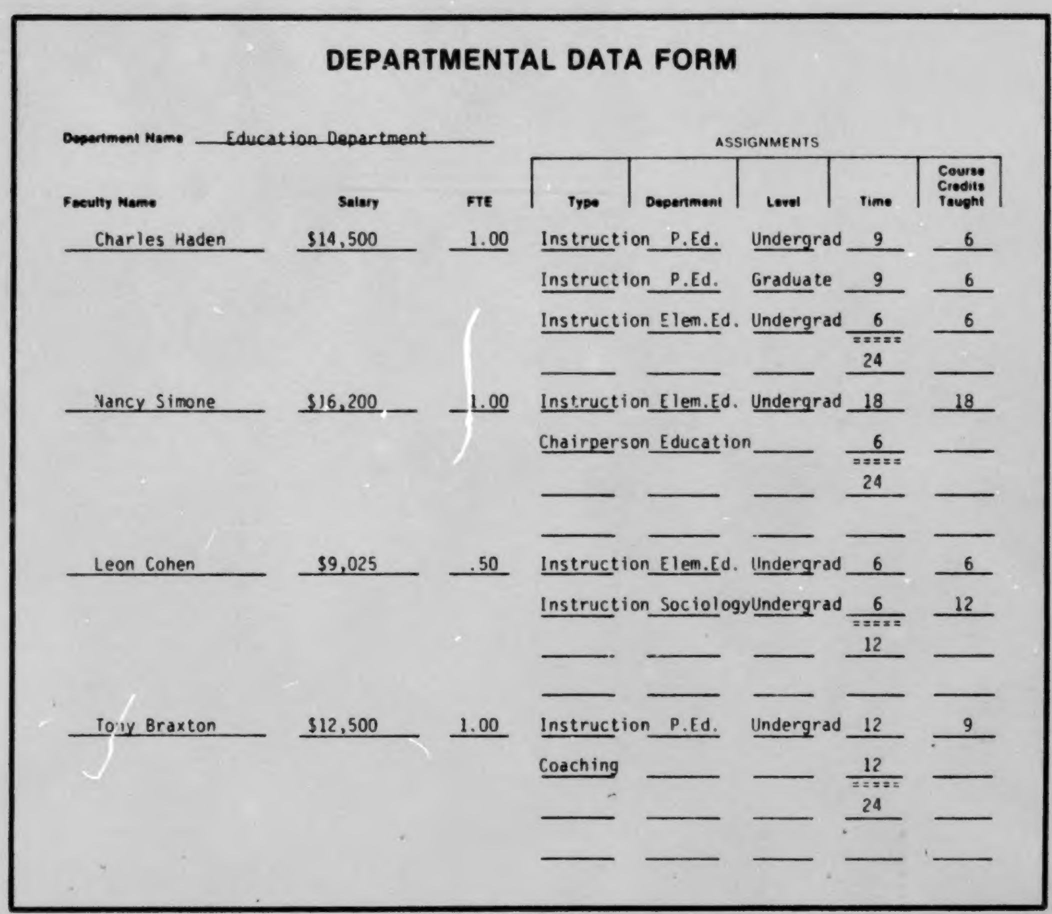
Department______________________

FACULTY RANK	TERM	INSTRUCTION		ACADEMIC COUNSELING		RESEARCH		PUBLIC SERVICE		ADMINISTRATION		NUMBER OF F.T.E. FACULTY
		%	F.T.E.	%	F.T.E.	%	F.T.E.	%	F.T.E.	%	F.T.E.	
1. Professor	First											
	Second											
2. Associate Professor	First											
	Second											
3. Assistant Professor	First											
	Second											
4. Instructor	First											
	Second											
5. Non-ranked faculty	First											
	Second											
TOTALS	First	▨		▨		▨		▨		▨		
	Second	▨		▨		▨		▨		▨		
Average for department	First		▨		▨		▨		▨		▨	
	Second		▨		▨		▨		▨		▨	

NOTE: This form is to be completed for the first year of the planning period only.

FORM NO. 105

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.



DEPARTMENTAL DATA FORM

Department Name Education Department

			ASSIGNMENTS				
Faculty Name	**Salary**	**FTE**	**Type**	**Department**	**Level**	**Time**	**Course Credits Taught**
Charles Haden	$14,500	1.00	Instruction	P.Ed.	Undergrad	9	6
			Instruction	P.Ed.	Graduate	9	6
			Instruction	Elem.Ed.	Undergrad	6	6
						===== 24	
Nancy Simone	$16,200	1.00	Instruction	Elem.Ed.	Undergrad	18	18
			Chairperson	Education		6	
						===== 24	
Leon Cohen	$9,025	.50	Instruction	Elem.Ed.	Undergrad	6	6
			Instruction	Sociology	Undergrad	6	12
						===== 12	
Tony Braxton	$12,500	1.00	Instruction	P.Ed.	Undergrad	12	9
			Coaching			12	
						===== 24	

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 17.

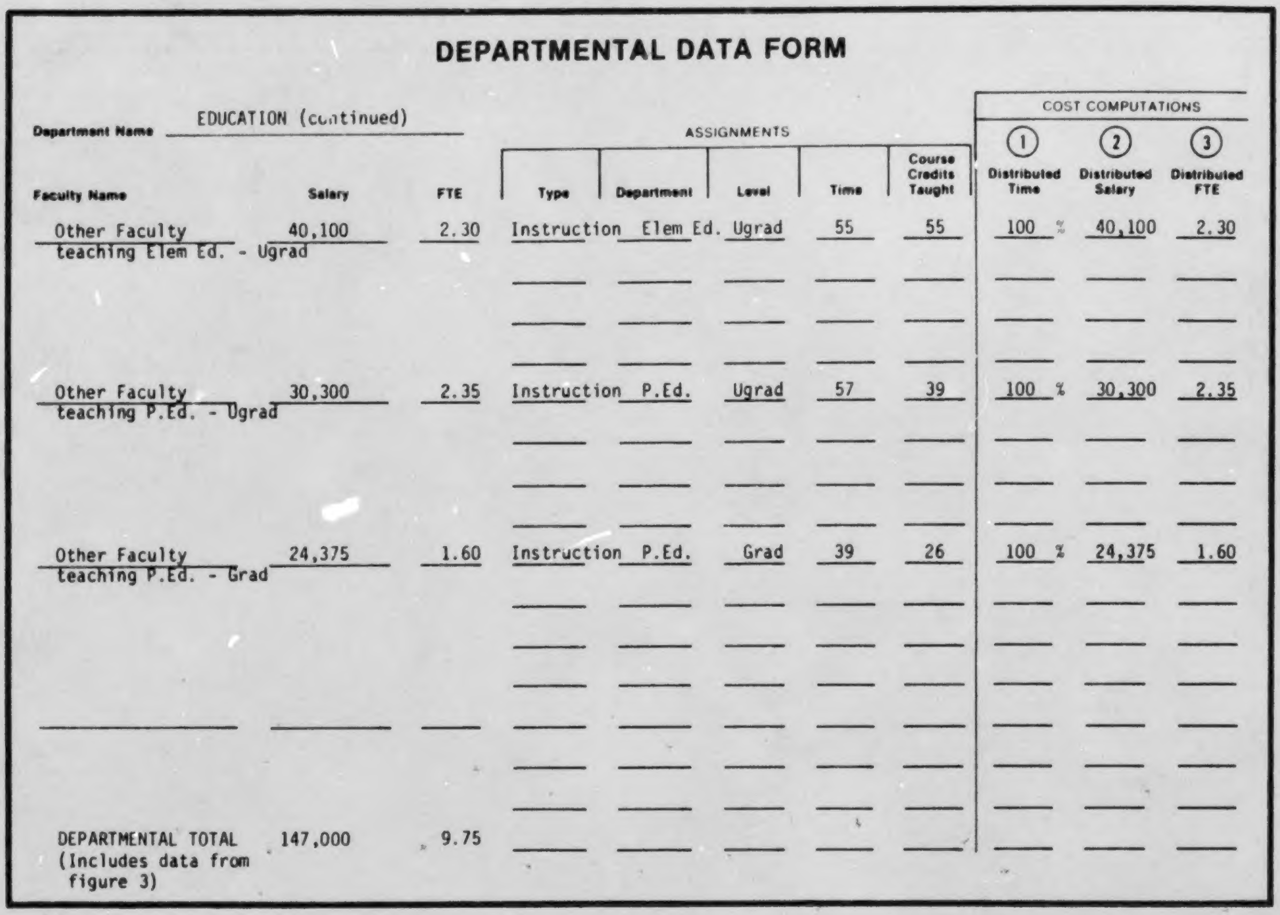
DEPARTMENTAL DATA FORM

Department Name EDUCATION

			ASSIGNMENTS					COST COMPUTATIONS		
								①	②	③
Faculty Name	**Salary**	**FTE**	**Type**	**Department**	**Level**	**Time**	**Course Credits Taught**	**Distributed Time**	**Distributed Salary**	**Distributed FTE**
Charles Haden	14,500	1.00	Instruction	P.Ed.	Undergrad	9	6	37.5%	5,438	.375
			Instruction	P.Ed.	Graduate	9	6	37.5%	5,438	.375
			Instruction	Elem Ed.	Ugrad	6 24	6	25 % 100 %	3,625 14,501	.250 1.000
Nancy Simone	16,200	1.00	Instruction	Elem Ed.	Ugrad	18	18	75 %	12,150	.75
			Chairperson	Education		6 24		25 % 100 %	4,050 16,200	.25 1.00
Leon Cohen	9,025	.50	Instruction	Elem Ed.	Ugrad	6	6	50 %	4,512	.25
			Instruction	Sociology	Ugrad	6 12	12	50 % 100 %	4,512 9,024	.25 .50
Tony Braxton	12,500	1.00	Instruction	P.Ed.	Ugrad	12	9	50 %	6,250	.50
			Coaching			12 24		50 % 100 %	6,250 12,500	.50 1.00

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 19.

OTHER DEPARTMENTAL FACULTY



DEPARTMENTAL DATA FORM

Department Name EDUCATION (continued)

			ASSIGNMENTS					COST COMPUTATIONS		
								①	②	③
Faculty Name	**Salary**	**FTE**	**Type**	**Department**	**Level**	**Time**	**Course Credits Taught**	**Distributed Time**	**Distributed Salary**	**Distributed FTE**
Other Faculty teaching Elem Ed. - Ugrad	40,100	2.30	Instruction	Elem Ed.	Ugrad	55	55	100 %	40,100	2.30
Other Faculty teaching P.Ed. - Ugrad	30,300	2.35	Instruction	P.Ed.	Ugrad	57	39	100 %	30,300	2.35
Other Faculty teaching P.Ed. - Grad	24,375	1.60	Instruction	P.Ed.	Grad	39	26	100 %	24,375	1.60
DEPARTMENTAL TOTAL (Includes data from figure 3)	147,000	9.75								

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 20.

Peoples College
Form No. 16

SUPPORT PROGRAM: Dean of Students

(Supply a reasonably detailed list of activities performed by the department.)

Activity	Person Hours/Week
1. Counseling with individual students	
Informational Counseling	20
Problem Counseling	5
Long-Term or Developmental Counseling	1
Foreign Student Advising	1
2. Group Work with Students	10
3. Committee Work (Admissions Committee, Student Council, etc.)	5
4. Faculty Advising	2
5. Routine Administration	20
Etc.	

(Project Changes in Activity—give objectives of change, and indicate changes in resources required.)

Changes	Objectives of Change	Resources
1. Reduce individual appointments for dean of students	Dean of men will assume responsibility for some appointments	None
2. Add clinical counseling psychologist beginning 1976-77	Provide more long-term counseling. With less course structure and more freedom, greater tensions will exist.	$13,000 salary
3. Dean will assume responsibility for admissions officer	As agreed to by president	None
Etc.		

The purpose of this form is to allow supporting (nonacademic) departments to document what they are doing and how much time is being spent, what changes are anticipated, what the change is to accomplish, and what resources the change will entail.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

Facilities

Peoples College
Form No. 8

ACADEMIC PROGRAM PHYSICAL FACILITIES INVENTORY
FALL TERM 1974 only

Physics Department Instruction and Research Space

A.	B.	C.	D.	E.	F.	G.	H.
Course No.	Enrollment Last Fall	Room No.	No. of Student Stations*	% Utilization (B/D)**	Use of Room	Exclusive Dept. Use Required	Is Space Adequate? (Explain)
07A	16	SH-101	35	45.7	Lab	No	OK
09	21	SH-102	24	87.5	Lecture	Yes	OK
09L	21	SH-101	35	60.0	Lab	No	OK
04A	31	SH-101	35	88.6	Lab	No	OK
04B							
21	7	SH-103	15	46.7	Seminar	Yes	Needs new chalk board
23	7	SH-103	15	46.7	Seminar	Yes	"
41	10	SH-101	35	28.6	Lab	No	OK
42	6	SH-101	35	17.1	Lab	No	OK

Etc.

Office and Additional Space

Faculty offices in use: SH-201, SH-203, SH-219. The offices are barely adequate, but would benefit from some additional work area, perhaps part of SH-207, if the Psychology Department could move some of its tables out. This is especially vital for the new program in astrophysics.

Other rooms assigned exclusively to Physics Department: SH-104 (equipment storage), SH-210 (radiation storage), SH-207, SH-208.

* *Supplied by physical plant office*
** *Calculated by planning assistant*

This form assumes square footage and other information is available from a physical plant office. In a stable environment, requests for this kind of information may not be required every year. Large institutions may desire to summarize this kind of information for more immediate access. Any request for major renovation should be justified in detail.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

FACILITY MATCHING CHART

Academic Unit: *History Department* **Academic Period:** *Fall 1977*

Date: *February 15, 1976*

(a) Function and Faculty Identification	(b) Expected Enrollments/Attendees	Facilities, by use (c), location (d), and number of stations (e)							(h) Expected Rate of Station Occupancy (%)
		(c) *Class Room*	*Class Room*	*Class Room*	*Seminar Room*	*Class Room*	*Lounge*	*Class Room*	
		(d) *Carlson 102*	*Carlson 104*	*Carlson 105*	*Public Library*	*Reid Elem. School*	*Ivy Hall Lounge*	*Ivy Hall 401*	
		(e) *75*	*75*	*75*	*20*	*35*	*-*	*50*	
History 100, Sec. 1 Crow	*50*	*8-9 MWF*							*67*
History 100, Sec. 2 Townes	*45*	*9-10 MWF*							*67*
History 100, Sec. 3 Marr	*45*		*1-2:30 T-Th*						*60*
History 212 Sec. 1 Wong	*35*							*1-2 MWF*	*70*
History 212 Sec. 2 Kowalski	*30*			*9-10:30 T-Th*					*40*
History 375	*40*	*10-11 MWF*							*53*
American Heritage Seminar	*15*				*7-10p T*				*75*
History 310A	*25*					*5-7p WF*			*71*
Student Counseling	*-*						*by appt.*		*-*
(f) Weekly Times Available		*8-12 MWF*	*1-5 Daily*	*8-12 T-Th*	*7-10p T*	*5-7p WF*	*8-11 MWF*	*1-2 MWF*	
(g) Weekly Times Not in Use		*11-12 MWF*	*1-5 MWF 2:30-5 T-Th*	*8-9 T-Th 10:30-12 T-Th*	*0*	*0*	*-*	*0*	

Source: Glenn K. Miyataki and Maureen L. Byers, *Academic Unit Planning and Management*, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 52.

PLANNED EQUIPMENT UTILIZATION

Academic Unit: *History Department*

Academic Period: *Fall 1977*

Date: *February 16, 1976*

(a) Equipment Identification	(b) # of Units	(c) Location	(d) Functions									(e) Total Hours of Use
			Hist 100 Sec. 1	*Hist 100 Sec 2*	*Hist 212*	*American Heritage Seminar*	*Bicenten. Impact Study*	*Hist 100A*	*Hist 310A*	*COBOL Tutorial*	*Planning and Management*	
Recorder, Tape S/N 82649-MS	*1*	*C 302 Prof. White*	*10*		*25*	*3*	*20*	*7*	*5*			*70*
Computer Terminal T/S, S/N 44692-MS	*1*	*I 207 Data Processing*					*5*			*15*	*5*	*25*
Projector, Movie S/N 42962-MS	*1*	*BB 303 Audiovisual*	*5*		*4*	*2*		*3*	*7*			*21*
Projector, Movie S/N 42963-MS	*1*	*BB 318 Audiovisual*		*5*		*2*						*7*
Calculator, Standard S/N 38624-MS	*1*	*BB 303 Prof. Bright*					*15*			*20*	*50*	*85*
Typewriter, Electric S/N 3142861-MS	*1*	*BB 310 Department Office*				*10*	*35*				*320*	*365*
Typewriter, Electric S/N 3142862-MS	*1*	*BB 310 Department Office*						*5*	*5*		*320*	*330*
Tyepwriter, Electric, S/N 3142863-MS	*1*	*I 207 Data Processing*								*160*		*160*

Source: Glenn K. Miyataki and Maureen L. Byers, *Academic Unit Planning and Management*, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 55.

SUPPLIES AND SERVICES NEEDS

Academic Unit: *History Department*

Academic Period: *Fall 1977*

Date: *February 16, 1976*

(a) Supplies and Services Categories	(b) Item Identification	(c) Amount To Be Allocated	(d) Basis for Allocation*	(e) Functions								
				Hist 100, Sec. 1	*Hist 100, Sec. 2*	*Hist 212, Sec. 1*	*Hist 212, Sec. 2*	*Hist 375*	*Hist 310A*	*American Heritage Seminars*	*Planning and Management*	*Bicentennial Impact Study*
Communication and Transportation	*Telephone, Local*	*$ 720*	*FTE Faculty for Courses*	*60*	*60*	*60*	*60*	*60*	*60*	*[illegible]00*	*200*	*50*
	Telephone, Long Distance	*$ 200*	*Expected Usage*							*25*	*100*	*75*
	Postage	*$ 200*	*FTE Faculty for Courses*	*5*	*5*	*5*	*5*	*5*	*5*	*50*	*100*	*20*
Printing and Reproduction	*Copying*	*$ 500*	*Expected Usage*	*30*	*30*	*50*	*30*	*20*	*50*	*100*	*150*	*40*
	Mimeograph	*$ 280*	*FTE Faculty for Courses*	*15*	*15*	*15*	*15*	*15*	*15*	*15*	*150*	*25*
	Office Supplies	*$ 200*	*FTE Faculty for Courses*	*20*	*20*	*20*	*20*	*20*	*20*	*20*	*40*	*20*
Travel	*Mileage*	*$1,000*	*Expected Trips*	*50*	*100*	*100*	*50*	*50*	*50*	*150*	*250*	*200*
	Common Carrier	*$3,000*	*Expected Trips*	*250*	*250*	*200*	*200*	*200*	*200*	*200*	*900*	*600*
	Authorized Allowance	*$1,400*	*Expected Trips*	*100*	*100*	*100*	*100*	*100*	*100*	*200*	*250*	*250*
Equipment Rental	*Time-Share Terminal*	*$ 200*	*Proportion Usage*	*20*	*20*	*20*	*20*	*20*	*30*		*40*	*40*
Facility Rental	*Reid Elem. School*	*$ 250*							*200*			
	Public Library									*50*		

*To be determined by the academic unit unless institutional guidelines are specified.

Source: Glenn K. Miyataki and Maureen L. Byers, *Academic Unit Planning and Management*, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 56.

General

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Ohio University—Planning Process

The following materials were developed at Ohio University as a part of its planning process. (A detailed discussion of the Ohio University planning process can be found in *Comprehensive Institutional Planning: Studies in Implementation* [Armijo et al. forthcoming].) "Information Assistance for Program Planning" is excerpted from *Program Planning Process* by Ohio University. The book is "a guide to the ongoing planning and resource allocation effort of the University" (p. i) and contains a description of the major reports available to assist the planning units with the planning process. The excerpt is followed by an internal memo by the Director of Information Systems describing the compendium of historical planning data developed to support the planning process and a sample report for one department. Finally, a listing of reports available from the Office of Analytical Research at Ohio University is included as a sample of how various institutional units can be apprised of information available to them.

OHIO UNIVERSITY

INFORMATION ASSISTANCE FOR PROGRAM PLANNING

To aid in the planning and resource allocation process, various kinds of analytical information to be provided will include historical data as well as estimates of relevant information for the period covered by the planning process.

For the last few years, a variety of management reports with particular relevance for planning have been disseminated intermittently. An attempt will be made to assemble these into a single comprehensive report for each department with corresponding aggregate summaries by college or areas. A composite set of reports/associated summaries will be made available to all program planning units. While completion of the system analysis/computer programming is expected to cover several months, it is not anticipated that these documents will be completed during the first phase of the planning process.

Planning unit managers are urged to make use of available planning data in various analytical studies prepared and distributed in the past. These analyses, to be updated on a regular basis, will be made available to all planning units.

While major reports may be useful in the planning process, they will be supplemented by others as the planning process evolves and there is a need for new or different types of planning information. They are:

- Enrollment Projections: The current enrollment projections through 1980 were distributed on December 20, 1976. These projections will be updated with actual enrollments for Fall 1977 and will provide the basis for the income estimates. Information from the computerized student flow model also contain projections by campus, residency type, and student rank for each student major.

- Student Attrition: One aspect of the process for projecting enrollments involves study of the flow of students through various major/rank combinations during enrollment at Ohio University. Net enrollment is the result of new admissions, graduation, and attrition. Useful for planning is the attrition pattern for each student major which has been summarized.

  In addition to quarterly attrition information noted above, each entering freshman class since Fall 1971 has been "tracked," the results of which are soon to be released.

- Miscellaneous Student Information: In addition to projection of future student enrollment, numerous studies describing student characteristics and various patterns of student credit hour activity include:

a. Estimates of the potential pool of new freshmen based on a county-by-county review of high school enrollments, birth rates, and grade/age progressions.

b. Summary of the state and institutional origin of transfer students for the past few years.

c. Student headcount enrollment by virtually any categorical breakdown desired (race, sex, age, residence, class rank, hours carried, etc.).

d. Pattern of student relocation among the campuses of Ohio University.

e. The induced course load matrix system. The system describes the profile of student credit hour generation by student major (specific students across all departments) and departmental service (all majors being served by a specific department) required to serve all students. The ICLM profiles are used to anticipate instructional impact of increases/decreases in size of various student majors.

f. Analysis of class size and student/faculty ratios by department and college.

g. Weighted student credit hour information by department and college. Summary reports are prepared each fall quarter showing WSCH by department since Fall 1974. There are also detailed reports of enrollments, credits, and WSCH by course section generated each quarter and in an annual composite summary.

- Comparative Information: Data that compares Ohio University to other institutions has been collected and summarized to aid in the planning process. While much of it cannot be summarized at the departmental level due to differing organizational structures of various institutions as well as procedures used by the Regents for collection of data, it can be helpful to evaluate program alternatives. Among the major sources of comparative information are:

a. Higher Education in Ohio - Master Plan: 1976. A limited number of copies of this Regents publication are available. Copies will be made available to each major organizational unit.

b. Regents Expenditure Models. A voluminous computer-generated document known as the Resource Analysis is prepared by the Regents. It summarizes the pattern of expenditures for all 12 state universities and contains enrollment and staffing information for each course level and support services. Information from this source will be summarized and distributed as appropriate.

c. The concept of weighted student credit hours is based on the faculty workload rates contained in the Regents Program Expenditure Models. These rates can be combined with enrollment projections to estimate the staffing needs of various departments. An analysis of these "induced" staffing requirements will be prepared and distributed as appropriate.

- Personnel Information: The capability exists to produce reports describing student information in virtually any form. It is anticipated that a similar capacity to summarize and report personnel information will be possible during the current year. Information on contract employee status by salary, rank, tenures, sex, age, etc., will be made available as the planning process dictates. Currently much of this historical information has been limited to salary data and FTE employment status.

- Unit Costs: The costs per weighted student credit hour have been studied for each department and college over the past several years. These unit costs are based on total annual output of weighted student credit hours and final actual expenditures for each department. Direct departmental and fully-allocated costs are computed.

Source: Ohio University, Program Planning Process (Athens, Ohio: Ohio University, 1977), p. 15.

OHIO UNIVERSITY

Inter-Office Communication

DATE December 27, 1978

TO Members of UPAC, Vice Presidents and Academic Deans

Charles Harrington

FROM Charles F. Harrington, Director, Information Systems

SUBJECT Profile of Historical Planning Data

Planning information and management data analyses have long been available in large quantities at Ohio University. However, a year's experience with our present planning process has demonstrated the need for more systematically available departmental planning data.

Formerly, an array of management reports with general relevance to the planning process had been disseminated on an intermittent basis. These reports dealt with specific topics such as student headcount enrollments and contained both historical information and projections. A major difficulty with their use was that related information relevant to specific planning decisions was often contained in several independently issued reports. In addition, the reports contained both historical data that was static and projections that were subject to continuous revision.

An initial phase of an ongoing effort to improve the availability and use of relevant data in the planning process has resulted in the preparation of a computerized compendium of historical planning data. The data profiles for each academic department, college level summaries and the University summary are presented herein for your review and critique. A complete set of profiles and associated summaries has been prepared for each planning unit.

The information presented in these departmental profiles and associated summaries pertain only to credit generating academic budget units. Hence, there are no profiles for units such as the Child Care Center or the Dean's Office within the College of Education, nor are data for these units included in the college level or University summaries.

An effort is presently underway to identify information and data for non-instructional units that would aid the planning process. Assistance and suggestions regarding available and helpful information for inclusion are earnestly solicited.

Description of Historical Profiles. The profile for each department will contain four major sections.

Section I - Students: This section contains information about students by student major. Student majors not associated with specific departments but within the college are included only in the college and University summaries.

Fall headcount enrollments and the annual number of degrees awarded during each of the past five years are reported for each student major. It is important to remember that student major in this instance is the collapsed major grouping that combines various area of concentration codes assigned by each college. This is the procedure used with the Induced Course Load Matrix (ICLM) system developed several years ago.

Individual area of concentration codes often involve less than five students and larger aggregations are necessary to achieve meaningful planning information.

Section II - Courses: The undergraduate, graduate and total student credit hours associated with each course abbreviation for a department are reported in this section. Only fall credit hour information is presented. Instructional activity in general courses such as University Professor, Honors College and other interdisciplinary programs are reported when these activities can be associated with sponsoring departments.

Also reported in this section are fall average section sizes and fall Weighted Student Credit Hours (WSCH). WSCH information is reported for both regularly budgeted instruction and instruction coordinated by the Continuing Education division.

Average section size is based only on the instructional activity funded from departmental resources and does not include Continuing Education courses. An attempt has been made to accommodate the effect of joint classes by combining data for classes scheduled for the same room at the same time. This is done by adding the reciprocal of the number of joint classes to the total number of sections before dividing the number of sections into the total enrollment.

The OU-Index reported with the class size information and elsewhere throughout the profile is simply a method of relating departmental data to the total University average. For example, a department with an average class size of 15.6 students per section and an index of .78 has an average section size that is 22% smaller than the total University average section size.

Section III - Staffing and Productivity: This section contains historical information pertaining to personnel and the activities associated with their departmental activities. The first subsection contains the annual Weighted Student Credit Hour output and both direct and fully allocated unit costs. The expenditures used in these computations are the final year-end actual expenditures and they may deviate from departmental budgets by small amounts.

The number of tenured FTE faculty for the department, including those on professional leave, and the number of non-tenured FTE faculty are reported in this section along with the percentage of the total who are tenured. These data are based upon the number of contracts in force during the fall quarter and do not include positions which may be budgeted but unfilled. The software that produces this portion of the analysis was completed during the past year and the information necessary to compute the tenure ratios was not available prior to 1977. At a later time associated faculty will be included in this section. Associated faculty are University employees who have rank (and perhaps tenure) in a given academic department but who are not budgeted with that unit.

Tenure information is meaningful only on a headcount basis. While the headcount number of faculty in this section is related to the number of FTE faculty budgeted, these two sections of the profile need not correspond directly. This results from the budgeting of positions in units other than the home department, budgeting resources for positions temporarily vacant and classifying personnel with tenure as administrative staff due to current work assignments.

The budget packets which are prepared each year for the Responsibility Accounting System included an FTE personnel summary. The budgeted FTE staffing summary contained in these profiles displays these data for the past five years. The information as submitted for each budget unit is checked and verified by the Controller's Office and, to assure comparability among all departments, the department chairmen are classified as faculty even though they may not have been classified that way initially.

The sub-section on staffing ratios includes the number of FTE students taught by the department during each fall quarter. All students are included whether or not they are ineligible for state subsidy support. Three student/staffing ratios are computed using the budgeted FTE information immediately preceding this sub-section. The first of these is the ratio of FTE students to FTE faculty. The second is the ratio of FTE students to the combined faculty and contract graduate student total. Contract graduate students were included since they represent potential teaching resources and since there presently is no convenient way to extract non-teaching GA's from the total. Teaching assignments for many graduate students often change from quarter-to-quarter and their inclusion represents the most comparable comparisons among departments.

The third staffing ratio presented in this section consists of the ratio of total FTE students to total FTE staff including faculty, contract graduate student, administrative and civil service personnel.

A comparison of budgeted teaching resources and the FTE teaching resources required to produce the actual student credit hours assuming Regents Model staffing patterns is presented in the next sub-section. The budgeted faculty only and the budgeted faculty plus budgeted graduate student total are reported in separate sections along with the number of FTE teaching staff required to match the Regents staffing models.

The final portion of the section on staffing and productivity includes a percentage distribution of faculty effort as reported by each person completing a faculty service report. To afford a measure of comparability among faculty members within, as well as among departments, the total effort represented by each faculty service report is taken as 100% of total effort and the effort associated with each activity is counted as a percentage of that total. The raw data were cumulated for department totals and for subsequent summaries so that part-time personnel contribute proportionately to the results reported.

Section IV - Expenditures: The final major section of each department profile presents actual expenditures for the most recent five year period. Included are net general operating expenditures, expenditures from rotary accounts and restricted expenditures.

The planning profile information is presently limited to the credit generating academic units. College level summaries and the total University summary are simply aggregations of the academic departments and they presently do not include support units within colleges such as the deans office and other non-teaching support budget units. It is anticipated that data for these units and for other non-instructional units will be presented in a separate report.

As the planning process evolves and as additional relevant information becomes available it will be added to the planning profiles. For example, we are presently planning to add student attrition data for each student major.

Suggestions which will improve the usefulness of these reports are encouraged.

CH/jc

```
*****************************************************************************************

REPORT NO: FARM0100                  OHIO UNIVERSITY                  DATE: 12/08/78

        PROGRAM PLANNING UNIT HISTORICAL RESOURCE INFORMATION         PAGE      1

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
X BUDGET-UNIT:               X
X 203005C                    X
X BOTANY                     X
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

                              ................. STUDENTS ................

                               1973      1974      1975      1976      1977

1. FALL HEADCOUNTS BY MAJOR:


  01 BOTANY

     FRESHMAN                    34        42        39        51        75
     SOPHOMORE                   22        24        17        13        32
     JUNIOR                      24        28        26        18        25
     SENIOR                      13        15        25        23        18
       UNDERGRAD                 93       109       107       105       150

     MASTERS                     13        17        15        13        16
     DOCTORAL                    13        12         9        13        12
       GRADUATE                  26        29        24        26        28

       TOTAL                    119       138       131       131       178

2. ANNUAL DEGREES AWARDED:
     BACCALAUREATE                7        11        17        19        13
     MASTERS                      7         9         4         8         6
     DOCTORATE                    1         1         4         2        --
       TOTAL                     15        21        25        29        19

                              .................. COURSES .................

3. FALL STUDENT CREDIT HOURS:

     BOT
       UNDERGRADUATE           3620      3108      2867      2795      2738
       GRADUATE                 322       382       275       330       344
         SUB-TOTAL             3942      3490      3142      3125      3082
```

```
REPORT NO: FARM0100              OHIO UNIVERSITY                    DATE: 12/08/78

        PROGRAM PLANNING UNIT HISTORICAL RESOURCE INFORMATION          PAGE    2

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
X BUDGET-UNIT:               X
X 2030050                    X
X BOTANY                     X
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

                           .................. COURSES ..................

                               1973       1974       1975       1976       1977

4. FALL WSCH (ATHENS):

      BOT                      8423       7895       7140       7329       7422

6. FALL AVERAGE SECTION SIZE:
      BOT                      20.4       19.0       16.7       15.0       17.0

      OU-INDEX                  .87        .93        .84        .75        .84

                           ......... STAFFING AND PRODUCTIVITY ........

7. UNIT COST DATA:

      ANNUAL WSCH             25593      24043      22131      22004      23131

      DIRECT COST/WSCH       $14.88     $16.01     $17.62     $19.16     $19.02
        OU-INDEX               1.21       1.28       1.35       1.39       1.31

      ALLOCATED COST/WSCH    $29.12     $31.69     $33.42     $36.15     $39.18
        OU-INDEX               1.15       1.14       1.22       1.33       1.23

8. TEACHING FACULTY:

      TENURED                    --         --         --         --       13.0
      NON-TENURED                --         --         --         --        1.0
        TOTAL                    --         --         --         --       14.0

      PERCENT TENURED                                                      92.0

9. BUDGETED FTE STAFFING:

      FACULTY                    --      13.10      13.20      13.20      13.20
      GRAD. ASSISTANTS           --       7.00       6.00       6.60       6.39
      ADMINISTRATORS             --       4.00       2.00       2.00       2.00
      CIVIL SERVICE              --       2.00       1.50       1.50       1.50
        TOTAL                    --      26.10      22.70      23.30      23.09
```

```
REPORT NO: FARM0100                OHIO UNIVERSITY                  DATE: 12/08/78

      PROGRAM PLANNING UNIT HISTORICAL RESOURCE INFORMATION          PAGE     3

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
X BUDGET-UNIT:                  X
X 2030050                       X
X BOTANY                        X
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

                                 ......... STAFFING AND PRODUCTIVITY ........

                                 1973       1974       1975       1976       1977

10. STAFFING RATIOS:

     FTE STUDENTS               262.8      232.7      209.5      208.3      205.5
     FTE STD/FTE FACULTY           --       17.8       15.9       15.8       15.6
     FTE STD/FTE FAC&GA            --       11.6       10.9       10.5       10.5
     FTE STD/FTE TOT STAFF         --        8.9        9.2        8.9        8.9


11. REGENTS MODEL/DEPART. BUDGETED:

     MODEL FTE FOR ENROL        15.60      14.62      13.22      13.57      13.75

     BUDGETED FACULTY              --      13.10      13.20      13.20      13.20
     DIFFERENCE FROM MODEL         --      -1.52       -.02       -.37       -.55
     % DIFF. FROM MODEL            --     -10.30       -.10      -2.70      -4.00

     BUDGETED FACULTY & GA         --      20.10      19.20      19.80      19.59
     DIFFERENCE FROM MODEL         --      +5.48      +5.98      +6.23      +5.84
     % DIFF. FROM MODEL            --     +37.40     +45.20     +45.90     +42.40

12. % DISTRIBUTION OF FACULTY EFFORT:

PRIMARY INSTRUCTION

     1 GEN. STUDY                  --         --         --         --       32.6
     3 BACCALAUR.                  --         --         --         --       17.1
     4 MASTERS                     --         --         --         --        6.1
     5 DOCTORAL                    --         --         --         --       13.5
       SUB-TOTAL                   --         --         --         --       69.2

STUDENT ADVISING

     1 FR/SO                       --         --         --         --        1.8
     2 JR/SR                       --         --         --         --        1.3
     3 MASTERS                     --         --         --         --        1.9
     4 DOCTORS                     --         --         --         --        2.3
       SUB-TOTAL                   --         --         --         --        7.2
```

```
REPORT NO: FARM0100                   OHIO UNIVERSITY                    DATE: 12/08/78

         PROGRAM PLANNING UNIT HISTORICAL RESOURCE INFORMATION          PAGE     4

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
X BUDGET-UNIT:                 X
X 2030050                      X
X BOTANY                       X
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX

                                ......... STAFFING AND PRODUCTIVITY ........

                                1973      1974      1975      1976       1977

ADMINISTRATION


     1 DEPARTMENT ADMIN          --        --        --        --         3.2
     2 COL/DEPT COM.             --        --        --        --         2.2
     3 UNIVERSITY COM.           --        --        --        --          .3
     5 OTHER ADMIN.              --        --        --        --          .3
       SUB-TOTAL                 --        --        --        --         5.7

RESEARCH

     1 UNIVERSITY/DEPT           --        --        --        --        13.3
     2 PUBLICATION PRP.          --        --        --        --         4.8
       SUB-TOTAL                 --        --        --        --        18.0


** FTE BASED ON DEPARTMENTAL FACULTY WHO COMPLETED A FACULTY ACTIVITY
** REPORT FOR FALL QUARTER.

                                .............. EXPENDITURES ................

13. DEPARTMENTAL EXPENDITURES:
     GENERAL OPERATING        $380834   $384861   $389870   $421456   $439864
     RESTRICTED                    --    $30921    $54963    $43704    $72172
```

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OHIO UNIVERSITY

LISTING OF REPORTS DISTRIBUTED FROM THE OFFICE OF ANALYTICAL RESEARCH

Reference: Enrollment 1978

Report	Name of Report
78-E-1	Final 1978 Winter Enrollment (3/23/78)
78-E-2	Early Summer Enrollment Comparisons 1976-77 (8/25/77)
78-E-3	Enrollment Information by State for Ohio University (1/3/78)
78-E-4	Enrollment Analysis Quarter by Quarter (1/10/78)
78-E-5	Fall 1977 Student Headcount Data by Sex, Race, and Student Status (1/11/78)
78-E-6	Resident Credit Courses for Ohio University by Branch for 1975 through 1977 (5/15/78)
78-E-7	Fall Headcount Enrollments - Ohio University (8/28/78)
78-E-8	Summer 1978 Subsidy Income and Subsidy Eligible FTE (9/26/78)
78-E-9	Weighted Student Credit Hour Output for the Past Fall Academic Periods (11/13/78)
78-E-10	Enrollment Targets Using Graduate Student FTE as Unit of Analysis (11/6/78)
78-E-11	Enrollment Forecasts Through 1990 (6/7/78)
78-E-12	Unit Cost Analysis for the 1977-78 Fiscal Year (9/26/78)

Reference: Enrollment 1977

Report	Name of Report
77-E-1	Student Relocation to the Athens Campus (An Addendum) (11/28/77)
77-E-2	Unit Cost Analysis for the 1976-77 Fiscal Year (9/12/77)
77-E-3	Weighted Student Credit Hour Output From the Past Four Fall Periods (11/14/77)
77-E-4	Fall 1977 Enrollment for Athens Campus Regular Program (10/19/77)

Report	Name of Report
77-E-5	1977 Summer School WSCH (10/17/77)
77-E-6	Fall 1977 Matriculation Rates and Freshmen Enrollment by Ohio Market Sector (10/28/78)
77-E-7	Summary of Transfer Admissions for Fall 1977 (10/31/77)
77-E-8	Class Size Analysis (4/21/77)
77-E-9	Estimates of Resident Freshmen through 1989 (10/15/75)
77-E-10	Student Headcount Enrollment Data by Sex, Race, and Student Status, 1973-1977 (1/11/78)
77-E-11	Minority Enrollment at State Universities and Land-Grant Colleges, Fall 1976.
	Reference: Faculty Information 1978
78-F-1	Fall Quarter 1977 Faculty Activity Headcount and FTE Summary (12/27/77)
78-F-2	Comparison of Model, Department Reported and Regents Reported Faculty FTE, Fall 1977 (1/78)
78-F-3	FTE Non-Academic Staff (2/14/78)
78-F-4	Faculty Salary Study (3/21/78)
78-F-5	% of Faculty Time Reported for Teaching, Administration, Advising, and Research (8/9/78)
78-F-6	Summer Quarter 1978 Faculty Activity Headcount and FTE Summary (11/15/78)
	Reference: Faculty Information 1977
77-F-1	Faculty Salary Study (2/22/77)
77-F-2	Regents Program Expenditure Models (5/24/77)
77-F-3	Center for Educational Statistics: Data on Salaries and Tenure of Full-Time Instructional Faculty for 1976-77 (4/19/77)
77-F-4	A Study of Faculty Salaries at Ohio University (2/21/77)

Report	Name of Report
77-F-5	Faculty Tenure, Age, Length of Service, and Rank Distribution (4/15/77)
77-F-6	Comparison of Actual Teaching Resources and Resources Required by Regents Expenditure Models for our Current Enrollment (4/21/77)
77-F-7	Student/Faculty Ratios and Staffing Levels (4/18/77)
77-F-8	Summer Quarter 1977 Faculty Activity Headcount and FTE Summary (11/2/77)
	Reference: Student Information 1978
78-SI-1	Main Campus Resident Student Net Attrition (3/17/78)
78-SI-2	GPA for Incoming Freshmen 1974-77 (3/24/78)
78-SI-3	Arts & Sciences Degree Field (Belmont, Lancaster, Chillicothe, Zanesville) (7/27/77)
78-SI-4	Admission Status by Race Code (6/24/77)
78-SI-5	Review of Data Provided for Branch Relocate Study (8/12/77)
78-SI-6	Regents 1977 Summer Subsidy (10/18/77)
78-SI-7	Information on Branch Accreditation (11/21/77)
78-SI-8	Locally Calculated FTE & Subsidy 1976-77 (12/15/77)
78-SI-9	Fall 1977 Academic Drops (12/28/77)
78-SI-10	Attrition Rates from Spring to Fall by Class Rank for the Period 1969-77 (1/11/78)
78-SI-11	Four Year Trends in ACT Scores (3/1/78)
78-SI-12	ACT Class Profile for Fall 1977 Freshmen (3/9/78)
78-SI-13	Major Counts of Students Contiguous to Ohio (3/9/78)
78-SI-14	O.U. Lancaster Branch Technical and Non-Technical GPA Study (3/30/78)
78-SI-15	Four Year Trends in Ohio University Entering Freshmen High School Rank Percentile (3/14/78)

Report	Name of Report
78-SI-16	A Comparison of the % of Black Students/International Students Enrolled Among the States for Residential Universities - Fall 1977 (4/5/78)
78-SI-17	Fall 1977 Matriculation Ratio Compared to Fall 1976 Admissions Status by Race Code - Fall 1976-77 (4/14/78)
78-SI-18	Scholastic Aptitude Test Scores and High School Class Rank of Entering Branch Freshmen (5/8/78)
78-SI-19	Branch Campus Four-Year Trends in ACT Scores (5/9/78)
78-SI-20	Four-Year Trends in O.U. Entering Branch Freshmen High School Rank Percentile (5/26/78)
78-SI-21	Incoming Branch Freshmen - Fall Quarter 1977 (5/26/78)
78-SI-22	Potential Fall 1977 Eligible FTE not Reported to the Regents (5/23/78)
78-SI-23	Graduate Students (Ineligible) with over 200 hours (4/27/78)
78-SI-24	Factors Associated with Freshmen Student Withdrawal at O.U. (6/15/78)
78-SI-25	Retention, Attrition and Graduations (1/24/78)
78-SI-26	SAT Scores for Entering Main Campus Freshmen (2/20/76)
78-SI-27	Main Campus Student Net Attrition from Spring to Fall Quarters 1969-78 (11/17/78)
	Reference: Student Information 1977
77-SI-1	Working Papers of the 1976 Collection, Racial/Ethnic Characteristics (3/77)
77-SI-2	Report on Attrition - Retention, Ohio University (6/77)

Additional samples of materials to support project 1 of the institutional studies (conducting an inventory of current programs and resources) can also be found in the document *Academic Planning: Four Institutional Case Studies* (Kieft 1978). Readers may want to refer to the West Virginia case study for:

- College of Arts and Sciences assumptions for the 1976-1985 planning period, pp. 36-41
- Statistical profiles of West Virginia University, 1976-77, table of contents, pp. 42-44
- Assumptions for the 1976-1985 planning period for West Virginia University, pp. 49-56

Internal Information

The second project of the institutional studies (see pages 28-39 of the *Handbook*) describes what information is available internally to support the planning process. This would include assessing information that has already been collected as well as formulating plans to collect data not available. This information will vary from institution to institution, but in general project 2 includes information (Kieft, Armijo, and Bucklew 1978, p. 28) on:

- Enrollment (majors, minors, degrees granted, head count)
- Enrollment projections (by level and program)
- Student attrition
- Student demography (race, sex, residence, age)
- Student-performance indicators (SAT or ACT scores, predicted GPA, rank in class)
- Mix of students (part- vs. full-time, head count vs. FTE, night vs. day, commuter vs. resident)
- Class size (by academic unit and course level)
- Student-faculty ratios (by academic unit and course level)
- Faculty and staff work-load measures (laboratory hours, private music-instruction hours, contact hours, committee assignments, credit hours)
- Curriculum interaction (consumption and demand of courses by academic unit)
- Credit-hour production (by academic unit and course level)
- Unit costs (by subunit)
- Outcomes (placement, alumni, follow-up information)

This section of the *Supplement* has aggregated the listing above into the five areas of general information, enrollments, personnel, finances, and facilities. The materials included for each of these sections have been listed on pages 159-161. These aggregations are not intended to be exhaustive, and information in one area may also pertain to another.

The following sources have been used in assembling the materials in this section:

Cloud, Sherrill. *Postsecondary-Education Information Planning at the State Level: Selection of Data to Address Planning Issues.* Boulder, Colo.: National Center for Higher Education Management Systems [NCHEMS], 1979.

Gamso, Gary. *An Approach to Cost Studies in Small Colleges.* Boulder, Colo.: NCHEMS, 1978.

Gray, Robert G.; Jacobson, Edmund; Micek, Sidney S.; Patrick, Cathleen; Renkiewicz, Nancy; and Van Dusen, William. *Student-Outcomes Questionnaires: An Implementation Handbook.* Boulder, Colo.: NCHEMS and the College Board, 1979.

Kieft, Raymond N.; Armijo, Frank; and Bucklew, Neil S. *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation.* Boulder, Colo.: NCHEMS, 1978.

Manning, Charles W., and Romney, Leonard C. *Faculty Activity Analysis: Procedures Manual.* Technical Report 44. Boulder, Colo.: NCHEMS at Western Interstate Commission on Higher Education [WICHE], 1973.

Miyataki, Glenn K., and Byers, Maureen L. *Academic Unit Planning and Management.* Technical Report 75. Boulder, Colo.: NCHEMS at WICHE, 1976.

National Association of College and University Business Officers [NACUBO]. *A College Planning Cycle: People Resources Process, A Practical Guide.* Washington, D.C.: NACUBO, 1975.

Ohio Board of Regents. *Planning/Two-Year Colleges.* Columbus, Ohio: Ohio Board of Regents, 1974.

__________. *Planning/Universities.* Columbus, Ohio: Ohio Board of Regents, 1974.

Segal, JoAn S., and Sell, G. Roger. "Needs Assessment Information System." Paper prepared in conjunction with the College Board for NCHEMS training seminars, August 1978.

Service, Allan L., and Schoemer, James R. *The Use of RRPM in Planning and Budgeting at Colorado State University: A Case Study.* Boulder, Colo.: NCHEMS, 1978.

Step 2—Context for Planning Institutional Studies

Materials Included in This Section

Project 2—Internal Information

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265 Support Services Expenditures Estimate

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271 Academic Program: Physical Facilities Requirements
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273 Support Services Summary: Physical Facilities Requirements
274 Example of Physical Development Plan—Building Portion/Summary: Total Space Additions or Reductions From Construction Activity

General

MATRIX TO DETERMINE DATA BASE REQUIREMENTS

Name of Plan **Educational Plan**

Specify all the data elements you can think of	Give a weighted evaluation of its importance*	Specify the reports that presently use this data	Specify the reports that could use these data	Could the data element be eliminated from this plan
Total no. of Depts.				
Total no. of Programs by Level				
Total no. of Majors				
Total no. of Courses				
Total no. of Sections				
Total Enrollment (head count)				
FTE Enrollment				
Average Class Size by Program Level				
Total Faculty (head count)				
Total Faculty FTE				
Student/Faculty Ratio				
Faculty Load (Total credit hours taught)				
Faculty Load (Average hours taught)				
Faculty Load (Total contact hours)				
Faculty Load (Average contact hours)				
Total credit hours offered				
No. of Student Dropouts				
No. of Student transfers				
No. of degrees earned				
No. of graduates attaining jobs				
No. of graduates going on for advance degrees				
No. of graduates going in public services, e.g., Peace Corps, Vista, etc.				
No. of graduates not accounted for				
No. of graduates from out of state				
No. of graduates from out of state who stayed in Ohio				

Note: Although the Ohio Board of Regents' *Planning/Universities* targets this matrix for determining data-base requirements to the education plan of an institution, it is included in this section as an example of the types of internal institutional information that would support the overall planning process.

Specify all the data elements you can think of	Give a weighted evaluation of its importance*	Specify the reports that presently use this data	Specify the reports that could use these data	Could the data element be eliminated from this plan
No. of graduates from Ohio No. of Ohio graduates who stayed in Ohio Average income generated by each student graduating by Program Average expenditures for each student graduating by Program Faculty Salaries Average FTE salaries Faculty Benefits Average FTE benefits				

*1 very important
2 important
3 some importance
4 Little or no importance

It is obvious that the foregoing example in Figure 12 only touch upon the possible types and extent of data that are required or desirable for the planning process. It should also be obvious that the determination of an adequate data base is a mammoth task. Because in addition to the data requirement for various types of plans, there are data requirements for such functions as: Enrollment, personnel, space, finance, admissions and registration, etc.

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 65.

Excerpt from Planning/Universities

Planning Tools and Techniques

Educational administrators have at their disposal a wide array of traditional tools and techniques for planning. Knowledge about planning tools and techniques is also increasing at a fast pace. Figure 13 presents a typology of tools and techniques that may be used in the planning process.

The first main category groups in Figure 13 are non-quantitative or subjective planning tools which are based on value judgment, experience and intuition. The operational descriptions of these tools lies in the realm of the behavioral science, they rely on individual or collective judgment.

The second category outlines some of the more conventional general systems methods and accounting techniques.

The third category includes methods of presenting analytical data in graphic form. The communication value of these visual tools cannot be overemphasized. A well-designed flow chart or a Critical Path Method (CPM) network can help administrators identify bottlenecks, dramatize the importance of making a decision about scheduling and identify the levels of administrative decisions involved.

The fourth category groups quantitative techniques based upon mathematical and statistical methods. Old techniques may be more appropriate for the management of smaller institutions, whose personnel may be more familiar with conventional methods of analysis. Newer mathematical techniques can be expensive and time-consuming, thus more suitable for complex, large institutions. However, some planners may tend to oversell the potential of sophisticated techniques as planning tools. Simulation models or game theory should be used only when the necessary preconditions for planning exist and then with extreme

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Figure 13

TOOLS USED IN THE PLANNING PROCESS

I. Nonquantitative
(Subjective judgment)
  A. Creative mental processes
  (hunches, creativity experience, judgment, intuition, brain storming)
  B. Finding the Critical Factor(s)
    1. Simple decision chains and tables
    2. Asking the right questions
    3. Past experiences and knowledge
  C. Organization per se (planning, organizing, and budget system)
  D. Rules of thumb
  E. Simple problem-solving steps
  F. Policies and procedures
  G. General knowledge in the field

II. General Systems Methods
  A. Problem design
  B. Nonquantitative simulation model building
    1. Logical-analytical frameworks
    2. Adaptive search
    3. Work flows
  C. Accounting Systems and Models
    1. Responsibility accounting system
    2. Balance sheet and income statement, balance of funds
    3. Cash-flow analysis
    4. Accounting and budget ratio analysis
    5. Break-even analysis
  D. Design of Information Systems
    1. Management Information Systems (MIS)
    2. Ohio Board of Regents Uniform Information System

III. Conventional Scheduling Models
  A. Timetables
  B. Manning tables
  C. Gantt (Bar) chart
  D. Milestone charts
  E. Critical Path Method (CPM)
  F. Line of balance charts

IV. Quantitative
(Mathematical-statistical)
  A. Older quantitative methods
    1. Quantitative forecasting
      a. trend extrapolation
      b. exponential smoothing
      c. correlation analysis
  B. Newer Mathematical Techniques
    1. Probability theory
    2. Computer simulation
    3. Linear programming
    4. Network analysis (Pert/time and Pert Cost)
    5. Heuristic problem solving
    6. Game theory
    7. Cost-benefit analysis
    8. Decision trees
    9. Utility profiles
    10. Statistical probabilities
  D. Complex methods combining several tools
    1. Delphi Technique
    2. Systems Analysis
    3. CAMPUS
    4. Resource Requirements Prediction Model (RRPM)
    5. Student Flow Model (SFM)
    6. PPBS

caution, otherwise, they can prove expensive, time-consuming, frustrating and often useless. Therefore, there are times when limited planning which relies on the older, more easily understood methods and subjective judgment may be more beneficial.

Source: Ohio Board of Regents, Planning/Universities (Columbus, Ohio: Ohio Board of Regents, 1974), p. 66-68.

Induced Course Load Matrix

The Induced Course Load Matrix and the closely related Instructional Work Load Matrix are both examples of what Suslow (1976) calls the "academic matrix." In its simplest form, the ICLM indicates the average number of credit hours (or some other convenient unit) that a particular type of student (for example, a math major) takes from each academic discipline or department (for example, mathematics, English, sociology). This information is often referred to as the course consumption pattern of those student majors. A complete ICLM shows this consumption information for all types of students. Thus it is also possible to look comparatively at different student majors and examine the relative contribution that a particular discipline makes to each type of major. The ICLM might show that the English department provides courses to not only English but also history or math majors. An illustrative Induced Coruse Load Matrix is shown in figure 1.

The ICLM shows the course credits consumed by an average student. If the number of students of each type is known or estimated, an Instructional Work Load Matrix (IWLM) can be generated. An IWLM shows the total credit hours (or other units) contributed or consumed by academic disciplines or student majors. The IWLM is produced from an ICLM simply by multiplying the average units shown in each ICLM cell by the appropriate enrollment number to find a total number of units for the corresponding IWLM cell. A discipline's or department's work load can then be found by adding the total units for all the programs the discipline serves. An example of an IWLM based on figure 1 is shown in figure 2.

Source: Allan L. Service and James R. Schoemer, The Use of RRPM in Planning and Budgeting at Colorado State University: A Case Study (Boulder, Colo.: NCHEMS, 1978) pp. 11-14.

Figure 1

EXAMPLE OF INDUCED COURSE LOAD MATRIX

FIELD OF STUDY BY STUDENT LEVEL

INSTRUCTIONAL DISCIPLINE BY COURSE LEVEL		History			Biology			Fine Arts			Business		
		LD	UD	GD	LD	UD	GD	LD	UD	GD	LD	UD	GD
History	LD	11.8			6.7	4.5		6.0	4.3		4.6	1.9	
	UD	4.2	11.3	4.5		3.9	2.1	2.3	7.6	7.4	2.3	6.1	4.7
	GD			18.3									
Biology	LD	3.9	4.1		12.5			4.2	4.1	1.3	5.4		
	UD				5.8	13.7			2.0			4.0	2.8
	GD					2.1	20.4						
Fine Arts	LD	3.7	2.7		2.7	1.8		10.9			.6	3.5	
	UD		6.5	3.0		3.5	2.9	6.3	10.3			1.4	1.3
	GD									19.3			
Business	LD	6.4	2.8		2.3	.5		.3	1.7		12.8	1.1	
	UD		2.6	4.2			4.6			2.0	4.3	10.3	
	GD											1.7	21.2
Total Annual Semester Hour Load		30.0	30.0	30.0	30.0	30.0	30.0	30.0	30.0	30.0	30.0	30.0	30.0

Note: FTE student load equals 30.0 annual semester hours.

LD = Lower Division; UD = Upper Division; GD = Graduate Division

EXAMPLE OF INSTRUCTIONAL WORK LOAD MATRIX

FIELD OF STUDY BY STUDENT LEVEL

FTE ENROLLMENTS

INSTRUCTIONAL DISCIPLINE BY COURSE LEVEL

		History			Biology			Fine Arts			Business			
		143	186	52	121	94	45	85	61	17	180	206	124	
		LD	UD	GD	LD	UD	GD	LD	UD	GD	LD	UD	GD	TOTAL
History	LD	1,687			811	423		510	262		828	391		4,912
	UD	601	2,102	234		367	95	195	464	126	414	1,257	583	6,438
	GD			952										952
Biology	LD	558	763		1,512			357	251	22	972			4,435
	UD				702	1,288			122			824	347	3,283
	GD					197	918							1,115
Fine Arts	LD	529	502		327	169		926			108	721		3,28
	UD		1,208	156		329	130	536	628			288	161	3,436
	GD									328				328
Business	LD	915	521		278	47		26	103		2,304	227		4,421
	UD		484	218			207			34	774	2,122		3,839
	GD											350	2,629	2,979
Total Annual Semester Hour Load		4,290	5,580	1,560	3,630	2,820	1,350	2,550	1,830	510	5,400	6,180	3,720	39,420

Constructing an Instructional Work Load Matrix

Creating an Instructional Work Load Matrix (IWLM) requires a tabulation of the course work taken by each student enrolled. The tabulation is usually done with assistance from a computer system because of the large volume of data necessary to document the course work for all students. Colleges and universities generally use one of two means to develop an IWLM for their campus: (1) the NCHEMS Costing and Data Management System software package, which provides an inexpensive means if a medium-sized computer facility is available and (2) development of their own software to perform the necessary tabulations and report the results.

The student-registration data shown in table 1 represent the key data elements necessary for construction of an IWLM. For each course taken by each student, the course abbreviation and number are used to determine the IWLM matrix row or discipline and course level. Sue Kay, for example, is taking Biology 104. Using the course-numbering convention shown, courses in the range of 0 to 299 are undergraduate. The discipline in the matrix shown in figure A corresponding to this biology course is "UG Biology," representing undergraduate biochemistry major. Column B in Figure A corresponds to her major and student level. The semester credits associated with the course are tabulated in the IWLM cell corresponding to the biology undergraduate discipline (A) and the biochemistry undergraduate majors (B).

The matrix in figure A shows the results of accumulating all the course information in table 1. Note that the sum of student credit hours taken in the biology undergraduate discipline by psychology undergraduate students was six credit hours. This further illustrates that the IWLM is an accumulation of all the student credit hours taken by students.

Any computer system employed to generate in IWLM using the logic outlined above should allow for data from one or more time periods (for example, semesters). It should also provide head count and FTE enrollment statistics that can be compared with institutional records to reconcile the results.

TABLE 1

SELECTED STUDENT-REGISTRATION RECORDS

Student ID	Student Name	Course Number	Major	Student Level	Semester Credits	IWLM Discipline	IWLM Program
723-31-8133	Sue Kay	BIO 104	Biochem	UG	3	UG Biology	Biochem UG
720-33-8122	Robert Allen	BIO 112	Psychology	UG	3	UG Biology	Psych. UG
649-29-7111	Mary Smith	ENG 210	English	GR	3	UG English	English GR
743-31-7981	Arnold Black	MATH 256	English	GR	3	UG Math	English GR
711-34-6122	Michael Lee	CHEM 400	Biochem	UG	5	GR Chem	Biochem UG
731-36-8644	Robert Trent	BIO 104	Psychology	UG	3	UG Biology	Psych. UG

NOTE: Undergraduate courses carry numbers from 0 through 299.
Graduate courses carry numbers from 300 through 499.

FIGURE A

INSTRUCTIONAL WORK LOAD MATRIX

		B ↓ MAJORS					
		Biochemist. Undergrad.	Biochemist. Graduate	English Undergrad.	English Graduate	Psychology Undergrad.	Psychology Graduate
A →	UG Biology	3				6	
DISCIPLINES	GR Biology						
	UG English				3		
	GR English						
	UG Math				3		
	GR Math						
	UG Chemistry						
	GR Chemistry	5					

Source: Gary Gamso, An Approach to Cost Studies in Small Colleges (Boulder, Colo.: NCHEMS, 1978), pp. 79-80.

________________________ COLLEGE

LONG RANGE PLAN SUMMARY

ITEM	OPERATING DATA			PLANNING DATA				
	ACTUAL 19__-19__	PROJECTION 19__-19__	BUDGET 19__-19__	PLAN 19__-19__	PLAN 19__-19__	PLAN 19__-19__	PLAN 19__-19__	PLAN 19__-19__
GENERAL DATA*								
Students and faculty:								
Total enrollment (head count)								
F.T.E. enrollment								
Total number of faculty (head count)								
F.T.E. faculty								
Student-faculty ratio (based on F.T.E.'s)								
Faculty load (in student credit hours)								
Student credit hours offered								
Number of students receiving degree								
Number of students receiving financial aid								
Faculty salaries (total)								
Faculty benefits (total)								
Average faculty salary								
Average faculty benefits								
Staff:								
Professional or administrative (F.T.E.)								
Clerical (F.T.E.)								
Other (F.T.E.)								
Student employees (F.T.E.)								
Total staff salaries and wages								
Total staff benefits								
Average staff salaries:								
Professional or administrative								
Clerical								
Other								
Students								
Average staff benefits:								
Professional or administrative								
Clerical								
Other								
Students								
Endowments and quasi-endowments:								
Amount (market value)								
Amount (book value)								
Yield on market value								
Gifts:								
Current purposes								
Endowment								
Plant and Equipment								
Other								
Plant and equipment:								
Book value								
Replacement value								
Space requirements								

*This is a sample list. It is not intended to be all-inclusive.

FORM NO 100

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

____ COLLEGE

LONG RANGE PLAN SUMMARY (Page 2)

ITEM	OPERATING DATA			PLANNING DATA				
	ACTUAL 19__ -19__	PROJECTION 19__ -19__	BUDGET 19__ -19__	PLAN 19__ -19__	PLAN 19__ -19__	PLAN 19__ -19__	PLAN 19__ -19__	PLAN 19__ -19__
REVENUES								
Tuition and fees								
Federal appropriations								
State appropriations								
Local appropriations								
Federal grants and contracts								
State grants and contracts								
Local grants and contracts								
Private gifts, grants, and contracts								
Endowment income								
Sales and services of educational activities								
Other sources								

Revenue categories may be detailed as needed.

_______________________ COLLEGE

LONG RANGE PLAN SUMMARY – (Page 3)

ITEM	OPERATING DATA			PLANNING DATA				
	ACTUAL 19__-19__	PROJECTION 19__-19__	BUDGET 19__-19__	PLAN 19__-19__	PLAN 19__-19__	PLAN 19__-19__	PLAN 19__-19__	PLAN 19__-19__
EXPENDITURES								
Educational and general:								
Instruction								
Research								
Public service								
Academic support								
Student services								
Institutional support								
Operation and maintenance of plant								
Scholarships and fellowships								
Mandatory transfers, educational and general								
Nonmandatory transfers, educational and general								
SUBTOTAL								
Auxiliary enterprises								
SUBTOTAL								
TOTAL EXPENDITURES								
SURPLUS (DEFICIT)								

Expenditure categories may be detailed as needed.

FORM NO 100 (Cont'd)

Higher Education General Information Survey (HEGIS) and other Postsecondary-Education Surveys

Source: Sherrill Cloud, *Postsecondary-Education Information Planning at the State Level: Selection of Data to Address Planning Issues* (Boulder, Colo.: NCHEMS, 1979), pp. 4.71-4.77.

HISTORY OF MAJOR POSTSECONDARY-EDUCATION SURVEYS DISTRIBUTED BY THE NATIONAL CENTER FOR EDUCATION STATISTICS (NCES)

Actual 1966-67 through 1978-79 and Scheduled 1979-80 through 1983-84

Survey Name	Form Number	Actual													Scheduled				
		I 1966-67	II 1967-68	III 1968-69	IV 1969-70	V 1970-71	VI 1971-72	VII 1972-73	VIII 1973-74	IX 1974-75	X 1975-76	XI 1976-77	XII 1977-78	XIII 1978-79	XIV 1979-80	XV 1980-81	XVI 1981-82	XVII 1982-83	XVIII 1983-84
NCES Surveys of Institutions– Higher Education General Information Survey (HEGIS)																			
Institutional Characteristics	2300-1	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Degrees Conferred	2300-2.1	X	X	X	X	X	X	X	X	X	X	X*	X*	X	X*	X	X*	X	X*
Fall Enrollment/Compliance	2300-2.3	X	X	X	X	X	X	X	X	X	X	X*	X	X*	X	X*	X	X*	X
Residence/Migration	2300-2.8			X				X			X				X		X		X
Enrollment by Field	2300-2.9	X	X	X	X	X	X	X	X	X	X	X	Discontinued						
Employees:																			
Total Employees (including Faculty)	2300-3						X	X				X							
FT Instructional Faculty	2300-3	X	X	X	X	X				X	X		X**	X**	X**	X**	X**	X**	X**
Financial Statistics	2300-4	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Libraries	2300-5	X	X	X	X		X		X		X	X	X		X		X		X
Enrollment Projections	2300-6	X	X	X	Discontinued														
Facilities	2300-7	X		X	X	X	X			X				Study†		X			
Adult/Continuing Education	2300-8			Sample			Sample					Sample		Sample		Sample		Sample	
NCES Survey of States																			
National Vocational Education Data System	2404												Study††		X	X	X	X	X

2/20/79

Note: This history summarizes the years that the forms with the number and name indicated were distributed. It does not necessarily mean that the forms were consistent in structure or definition.

* Racial information required. (Form will stay the same, with racial areas shaded in years racial data not required. Thus racial information can be filled in and collected at the state level if desired.) Racial data are being collected for the Office of Civil Rights (OCR), which had collected the data previously on separate forms.

** NCES agreed to collect information on salaries for continuing faculty that had previously been collected by the American Association of University Professors (AAUP). NCES also agreed to publish faculty-salary information annually.

† NCES will be modifying the Inventory of College and University Facilities to collect information for the Office of Civil Rights (OCR) regarding accessibility to higher-education facilities for mobility-impaired students. A feasibility study of 700 institutions was conducted in 1978-79, and all institutions will be surveyed in 1980-81.

†† A feasibility study of the Vocational Education Data System (VEDS) was conducted in 1977 (using 1976-77 data), and a full survey will be sent to all states beginning in 1979-80 (for 1978-79 data). VEDS collects statewide information on vocational education, including racial data, and is not an institutional survey.

NOTES ON CONSISTENCY OF POSTSECONDARY-EDUCATION SURVEYS
DISTRIBUTED BY THE NATIONAL CENTER FOR EDUCATION STATISTICS (NCES)
As of 1978-79

Higher Education General Information Survey (HEGIS):

Institutional Characteristics of Colleges and Universities:

Information is reported in July to represent status for the coming year.

Form has been fairly consistent in structure over the years. Changes have involved variance to the accrediting agencies listed, to the list of administrators to be included, and to the classification of institutions for published information. No change to the form is anticipated in the near future.

Degrees and Other Formal Awards Conferred Between July 1 and June 30:

Information is required for the previous year.

(Different forms are used for two-year institutions versus four-year institutions.)

Form has been fairly consistent in structure. Major change has been the addition in 1976-77 of racial information for major fields of study (at the two-digit HEGIS taxonomy code for fields leading to associate bachelor's, master's, and doctoral degrees, and at the four-digit HEGIS taxonomy code for all 10 first-professional degrees). Racial data were required again in 1977-78 and then became required biennially in odd years. The form will stay the same with racial areas shaded in years racial data are not required.

Fall Enrollment in Institutions of Higher Education or (in even years) Fall Enrollment and Compliance Report of Institutions of Higher Education:

Information is reported for the current fall term.

Form has become consistent in the past few years with the major change being the addition of racial information in 1976-77. Racial data will be required every other year in even years; and when required, separate forms for 10 selected instructional program areas must be filled out. The form will stay the same with racial areas shaded in years that racial data are not required. FTE for part-time students will still be required; but previous information requested about normal full-time credit-hour load and total credits enrolled for by both full-time and part-time students was deleted as of 1978. A postcard is provided for summary reporting of preliminary data in years the racial data are required.

Residence and Migration of College Students:

Information is required for the current fall term.

In past years, these data were collected every three to four years and the definitions and populations included were not consistent. Beginning in 1979-80, the population will be limited to first-time students at all student levels, excluding continuing students, and the data will be reported for full-time versus part-time status on a biennial basis.

Upper Division and Post-Baccalaureate Enrollment by Degree Field (previously entitled Students Enrolled for Advanced Degrees prior to 1975-76):

Information is reported for the current fall term.

Upper-division enrollment was collected in 1967, 1975, and 1976 only, but enrollments for advanced degrees were collected every year. There are no further plans to collect information on enrollments by degree field since the form was discontinued after 1976-77.

Employees in Institutions of Higher Education or entitled Salaries, Tenure, and Fringe Benefits of Full-Time Instructional Faculty (when information on all employees is not collected):

Information is required for staff employed annually and on the payroll as of October 1.

Information collected on employees other than faculty has been inconsistent. In lieu of collecting this information again, NCES will be trying to use the Bureau of Labor Statistics' Occupational Employment Survey. It is unresolved as to whether salaries for selected administrative positions will be collected in the future. (There already is a national Administrative Compensation Survey for higher education conducted annually by the College and University Personnel Association [CUPA]).

Faculty information collected has been fairly consistent, however. The major change was the inclusion of information previously collected by AAUP on salaries for continuing faculty in the 1977-78 form.

Financial Statistics of Institutions of Higher Education:

Information is required for the previous fiscal year.

For 1975-76, the HEGIS financial definitions and form became compatible with the Higher Education Finance Manual (HEFM) and College and University Business Administration (CUBA). This causes financial data collection in previous years to be incompatible with financial data collected from 1975 on.) There may be future modifications to the form and definitions, but they will be worked out with the National Association of College and University Business Officers (NACUBO) and other applicable higher-education associations.

College and University Libraries:

Information is required as of the fall term with some data required from the previous academic year. Special data are sometimes required, but generally the form has been fairly consistent.

Inventory of College and University Physical Facilities:

Information has been required as of September of the survey year.

This form has not been collected since 1974, and it will be changing to collect information on accessibility to higher-education facilities for mobility-impaired students. A voluntary feasibility study using 700 selected institutions was conducted in 1978-79, and the full survey of all institutions will be conducted in 1980-81. The feasibility study required data on the cost of compliance for Section 504 of the Rehabilitation Act of 1973, as well as information about building accessibility (by year of construction); estimated enrollment of mobility, visually, and acoustically impaired students; the number of beds in institutional housing designed to house mobility impaired; and accessibility by room-use categories.

Adult/Continuing Education: Noncredit Activities in Institutions of Higher Education:
Information is required for the previous full fiscal year.
A stratified sample of higher-education institutions is selected to participate in survey years. (Surveys have been done in 1968 for 1967-68, 1976 for 1975-76, and in 1978 for 1977-78.) Additionally, in 1971, 65 selected institutions were asked to respond about training programs they had for adult education.

NCES Survey of States:

Vocational Education Data System (VEDS):
Information is reported for the previous year of July 1 through June 30.
This survey is filled out by state agencies (sometimes higher education and sometimes vocational/technical-education agencies) to represent the total state and will not be collected from institutions or represent individual institutions. A feasibility study was conducted using eight states in 1977-78 (for 1976-77 data), and a full survey of all states will be conducted in 1979 (for 1978-79 data). States still had to provide vocational-education data in 1978-79 to the Bureau of Occupational and Adult Education (BOAE) on the BOAE standard forms.

Enrollments

EXPECTED COURSE ENROLLMENTS

Academic Unit: *History Department*

Academic Period: *Fall 1977*

Date: *February 1, 1976*

PART 1: UNIT IWLM	(c) Student Major	History			English			Psychology			All Others						PART 2: CALCULATING THE NUMBER OF SECTIONS			
	(d) Student Level	Lower	Upper	Grad	Lower	Upper	Grad	Lower	Upper	Grad	Lower	Upper	Grad							
	(e) Expected Number of Majors	100	50	25	100	50	15	200	100	45	50	100	10				(h)	(i)	(j)	
														(f) Total Course Enrollments			Desired Section Size	Number of Sections Required	Number of Sections Planned	
(a) Courses	(b) Course Level													Own Majors	Others	Total			Required	Additional
History 100	Lower	95			10			10			5	15		95	40	135	30	4.5	3	1
History 212	Lower	25	10		10			20						35	30	65	30	2.17	2	1
. .																				
. .																				
History 375	Upper	5	40						10		20			45	30	75	25	3.0	3	0
History 410	Upper		20	5		10								25	10	35	20	1.75	1	1
. .																				
. .																				
History 310A											25				25	25	25	1	1	0
. .																				
. .																				
(g) Total Headcount Enrollments		125	70	5	20	10	0	30	10	0	50	15	0	200	135	335				

Source: Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 29.

EXPECTED ENROLLMENTS OF MAJORS

Academic Unit: *MX Department* Date: *February 5, 1976*

Academic Year: *1977-78*

Instructional Functions	Freshman		Sophomore		Junior		Senior	
	Fall	Spring	Fall	Spring	Fall	Spring	Fall	Spring
Major Courses:								
MX 100	*20*	*5*						
MX 250	*2*	*10*						
MX 301			*7*					
MX 306				*13*				
MX 302					*12*			
MX 321						*12*		
MX 441							*28**	
MX 455								*8*
MX 495								*8*
⋮								
Supporting Courses:								
CH 111	*X*							
EN 105	*X*							
***CH 112*		*X*						
MA 102		*X*						
EN 205			*X*					
***BI 111*			*X*					
MA 206				*X*				
PL 415					*X*			
***BA 302*						*X*		
BA 408						*X*		

Major Courses: Courses to be taken within the department.

Supporting Courses: Courses to be taken outside the department.

*20 DH students included in this enrollment count.

**Optional courses strongly recommended by department.

X-Indicates term when course should be taken by student of a certain student level.

Source: Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 33.

Peoples College
Form No. 4

ENROLLMENT PROJECTIONS (FTE)

Year	*Freshman*	*Sophomore*	*Junior*	*Senior*	*Special*	*Total*
1969-70	517	378	261	222	8	1,386
1970-71	477	437	261	246	34	1,455
1971-72	594	389	298	254	21	1,556
1972-73	573	512	299	285	10	1,679
1973-74	555	518	397	301	27	1,798
1974-75	589	493	402	371	14	1,869
1975-76°	636	486	407	291	36	1,856
1976-77°	645	481	381	257	36	1,800
1977-78°	621	497	386	248	36	1,788
1978-79°	622	485	398	243	36	1,784
1979-80*	621	490	392	253	34	1,790

° *Projected*

DEPARTMENTAL ENROLLMENT PROJECTIONS
(Student Credit Hours)

Department	72	73	74	75	76	77	78	79
Anthropology	2025	1739	1728	1700	1700	1750	1750	1700
Biology	1620	1485	1836	1650	1700	1700	1650	1650
Business Admin.	3337	2943	3300	3350	3350	3400	3450	3400
English	2727	2241	2538	2400	2300	2250	2200	2150
Music	999	918	756	700	700	650	650	650
Paramedicine	783	1161	1107	1200	1300	1400	1600	1600
Physics	501	482	552	500	550	600	600	600
Sociology	1269	1053	1323	1350	1350	1400	1400	1400

Enrollment projections may be prepared with a variety of formats and detailed data. Other alternatives, particularly for larger institutions, may display returning students by sex, by major, by college, etc.

If there is significant distinction between head-count enrollment and full-time equivalent (FTE) enrollment, one table for each should be prepared.

The inclusion of some historical data with the projection is recommended.

Projection of enrollments with detailed stratifications such as called for by this form is extremely difficult at a small institution. Simple straight-line extrapolation is *not* adequate. A sabbatical leave taken by a popular faculty member may change the projection for that department by 50 percent or more. At large institutions, on the other hand, it may be possible and desirable to stratify the projections by Upper Division, Lower Division, etc.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

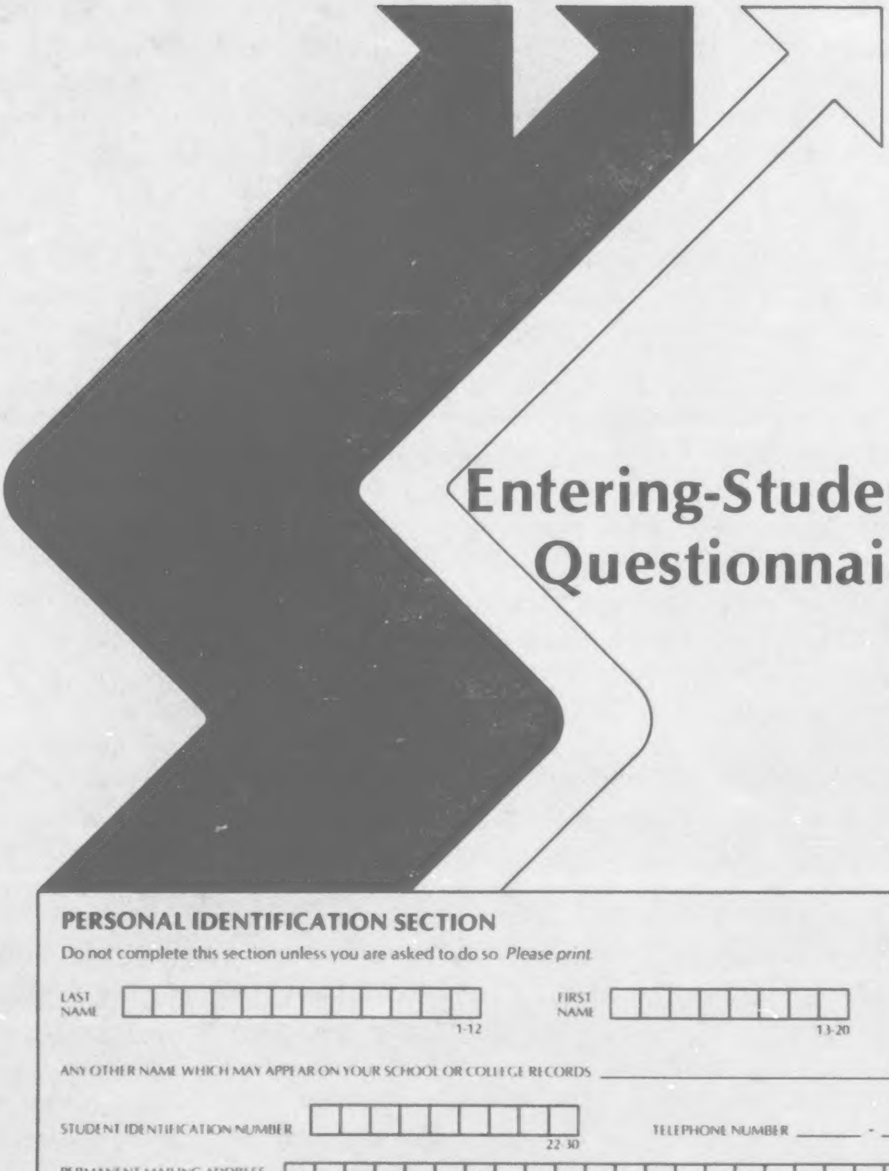
Student-Outcomes Questionnaires

Student Outcomes Questionnaires

The following questionnaires, developed by the College Board and the National Center for Higher Education Management Systems, suggest a means of collecting information that may not be currently available. The questionnaires are one means of gathering information; each institution should carefully assess its own particular needs and determine the most effective and efficient means to meet those needs. The questionnaires included here are targeted for four-year institutions. Similar questionnaires are also available for two-year institutions and have been reproduced in the appendix.

As excerpted from the *Student-Outcomes Questionnaires: An Implementation Handbook* (p. 4), the questionnaires are:

1. Entering-Student Questionnaire. Baseline data obtained by a survey of entering students using this questionnaire include demographics, educational and occupational experience and plans, sources of anticipated funding for college costs, goals in attending school, and reasons for selecting the particular institution.
2. Continuing-Student Questionnaire. This questionnaire is administered to students who continue to reenroll at the institution or to students who reenroll after being away from the institution for a term or more. The survey instrument has been designed to obtain data about student characteristics and background, current and long-range goals, employment status, and need for, use of, and satisfaction with services provided by the college.
3. Former-Student Questionnaire. This questionnaire is administered to any student who leaves the institution without completing a formal program and receiving a degree or certificate. In addition to demographic and background data concerning students' experiences and progress at the institution, a survey using this questionnaire provides detailed information about the goals achieved by former students, reasons they did not return to this school, and their impressions of various institutional services.
4. Program-Completer/Graduating-Student Questionnaire. This questionnaire is administered to any student who is about to earn a degree or certificate from a college or university. A survey of students using this questionnaire provides demographics, background data, and information on students' satisfaction with various institutional services, as well as students' ratings of how well the school helped them reach their goals. The survey also provides information about students' future educational plans.
5. Recent-Alumni Questionnaire. A survey of former students enrolled in degree, certificate, or vocational programs provides demographic and background data on students' experience at the college as well as considerable detail about the first degree program a student enrolled in since leaving the school and the first full-time job a student held since leaving the school. These questionnaires are to be administered between three months to one year after students have left the school.



Entering-Student Questionnaire

PERSONAL IDENTIFICATION SECTION

Do not complete this section unless you are asked to do so *Please print.*

LAST NAME ☐☐☐☐☐☐☐☐☐☐☐☐ 1-12
FIRST NAME ☐☐☐☐☐☐☐☐ 13-20
MIDDLE INITIAL ☐ 21

ANY OTHER NAME WHICH MAY APPEAR ON YOUR SCHOOL OR COLLEGE RECORDS ____________________

STUDENT IDENTIFICATION NUMBER ☐☐☐☐☐☐☐☐☐ 22-30
TELEPHONE NUMBER ______ - __________

PERMANENT MAILING ADDRESS NUMBER AND STREET ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 31-55

CITY ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 56-70
STATE ☐☐ 71-72
ZIP CODE ☐☐☐☐☐ 73-77

National Center for Higher Education Management Systems
The College Board

SAMPLE

STANDARD QUESTIONS SECTION

INSTRUCTIONS:

Specific directions are given for completing many of the questions in this questionnaire. Where no directions are given, please circle the number or letter of the most appropriate response, such as in the sample question below.

Sample:

4. Are you currently married?
   0 Yes
   [✓ 1 No]

If you are not currently married, you would circle the number 1.

1. What is your sex?
78 — 0 Female
1 Male

2. How do you describe yourself? *Circle one.*
79 — 0 American Indian or Alaskan Native
1 Asian, Pacific Islander, or Filipino
2 Black or Afro-American
3 Hispanic, Chicano, or Spanish-speaking American
4 White or Caucasian
5 Other ______________________________

3. How old are you?
80 — 0 Under 18
1 18 to 22 years
2 23 to 25 years
3 26 to 30 years
4 31 to 40 years
5 41 to 50 years
6 51 to 60 years
7 61 years or over

4. Are you currently married?
81 — 0 Yes
1 No

5. Do you feel that you have a permanent handicap? *Circle all that apply.*
82 0 No
83 1 Yes, restricted mobility
84 2 Yes, restricted hearing
85 3 Yes, restricted vision
86 4 Yes, but I prefer not to record it on this form
87 5 Other ______________________________

6. a. Have you previously enrolled in any postsecondary educational institution? *If you have enrolled in more than one, please circle the most recent.*
88 — 0 No, I have not been previously enrolled
1 Yes, at this institution
2 Yes, at a public two-year college
3 Yes, at a public four-year college or university
4 Yes, at a private college or university
5 Yes, at a vocational/technical school, hospital school of nursing, trade school, or business school
6 Other ______________________________

b. If you have attended another college, please write in the name of the one you most recently attended.

____

7. The following statements reflect the goals of many college students. *Please circle the letters of* **all** *those goals that are important to you.*

Academic Goals
89 A To increase my knowledge and understanding in an academic field
90 B To obtain a certificate or degree
91 C To complete courses necessary to transfer to another educational institution
92 D Other ______________________________

Career-Preparation Goals
93 E To discover my career interests
94 F To formulate long-term career plans and/or goals
95 G To prepare for a new career
96 H Other ______________________________

Job- or Career-Improvement Goals
97 I To improve my knowledge, technical skills, and/or competencies required for my job or career
98 J To increase my chances for a raise and/or promotion
99 K Other ______________________________

Social- and Cultural-Participation Goals
100 L To become actively involved in student life and campus activities
101 M To increase my participation in cultural and social events
102 N To meet people
103 O Other ______________________________

Personal-Development and Enrichment Goals
104 P To increase my self-confidence
105 Q To improve my leadership skills
106 R To improve my ability to get along with others
107 S To learn skills that will enrich my daily life or make me a more complete person
108 T To develop my ability to be independent, self-reliant, and adaptable
109 U Other ______________________________

8. From the list of **goals** in **question 7**, please select the three that are most important to you and enter their codes below. For example, if your most important goal is "To obtain a certificate or degree," enter the letter B in the first box.

Most Important ☐ 110
Second Most Important ☐ 111
Third Most Important ☐ 112

9. What degree are you **currently** working toward at our college, **and** what is the highest degree you **ultimately** plan to earn? *Circle a number in each column.*

Current (113)	Ultimate (114)	
0	0	Not seeking a certificate or degree
1	1	Certificate
2	2	Associate degree
3	3	Bachelor's degree
4	4	Master's degree
5	5	Specialist degree (e.g., Ed.S.)
6	6	Professional degree (e.g., medicine, law, theology)
7	7	Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

10. a Please write in your intended major or area of study at our college.

____

b Now look at **List A: Majors and Areas of Study** and enter in the boxes below the code **number** of the category in which your major or area **of study falls**.

☐☐☐☐
115-118

11. What is your intended **enrollment status?**

119
- 0 Primarily for credit — **full-time (12 or more hours** each term enrolled)
- 1 Primarily for credit — part-**time (less** than 12 hours each term **enrolled**)
- 2 Primarily **not for** credit

12. What **will your primary employment** or occupation status be **during your first term at** our college? *Circle the most appropriate response.*

120
- 0 Employed more **than half** time
- 1 Employed half **time or** less
- 2 Homemaker, not **employed** outside of the home
- 3 Not employed but would like to work
- 4 Not employed and do not care to work while attending college

13. The decision to attend a particular college is usually influenced by a variety of factors. *Please circle* **all** *of the factors that influenced your choice to attend our college.*

121 A Academic reputation of our college
122 B Course offerings
123 C Former student's advice
124 D Teacher's or friend's advice
125 E Counselor's advice
126 F Employer's suggestion
127 G Will help me retain **my current** employment
128 H Costs
129 I Availability of **financial** aid
130 J Institution's **social reputation**
131 K Close to **home**
132 L Wanted a change in **scenery or location**
133 M Range and availability of **student** services
134 N I can identify with fellow **students**
135 O In**convenient** to go **elsewhere**
136 P **Other** _______________

14. How did you learn **about** our college? *Please circle* **all** ***items that*** *apply.*

137 0 **From** people at my high school
138 1 **From** relatives, friends, or acquaintances
139 2 **From** a representative of this college
140 3 **From a** college placement service or some other **education**-information service
141 4 **From a** college **catalog**
142 5 **From** material I received in the mail
143 6 From material I read in a newspaper or magazine
144 7 From a radio or TV advertisement
145 8 From an information display at an education fair, shopping center, county fair, or similar location
146 9 Other _______________

15. a Was our college your first choice?

147
- 0 Yes
- 1 No

b If no, what kind of college was your first choice?

148
- 0 A public two-year college
- 1 A public four-year college or university
- 2 A private college or university
- 3 A vocational/technical school, hospital school of nursing, trade school, or business school
- 4 Other _______________

What was the name of the college that was your first choice?

____

16. Do you plan to apply for financial aid at our college?

149
- 0 Yes, I have already applied
- 1 Yes, I plan to apply
- 2 No, I do not think I will ever apply

17. When would you most prefer to take your classes? *Circle one.*
- 0 Weekday mornings
- 1 Weekday afternoons
- 2 Weekday evenings 150
- 3 Anytime during the week
- 4 Anytime during the weekend
- 5 No preference

18. Do you plan to enroll at our college next term?
- 0 Yes
- 1 No, I will complete my program this term
- 2 No, but I plan to return at some future date
- 3 No, I plan to transfer to another college 151
- 4 No, I have no plans for additional education at this time
- 5 I do not yet know my plans for next term

ADDITIONAL QUESTIONS SECTION

Additional questions may have been added to this printed form by your college. If you have been asked to answer additional questions, please use the boxes below to record your responses

☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
19	**20**	**21**	**22**	**23**	**24**	**25**	**26**	**27**	**28**	**29**	**30**	**31**	**32**	**33**
152	153	154	155	156	157	158	159	160	161	162	163	164	165	166

Please use the space below for any comments you have about our college, this questionnaire, or anything else you care to share with us

SAMPLE

LIST A: MAJORS AND AREAS OF STUDY

SAMPLE

Programs usually requiring four or more years of study

0100	Agriculture and Natural Resources
0200	Architecture and Environmental Design
0300	Area Studies (includes Asian Studies, Black Studies, etc.)
0400	Biological and Life Sciences
0500	Business and Management
0600	Communications
0700	Computer and Information Sciences
0800	Education
0900	Engineering
1000	Fine and Applied Arts (includes Art, Dance, Drama, M[illegible])
1100	Foreign Languages
1200	Health Professions
1300	Home Economics (includes Clothing and Textiles, Institution[illegible] Housekeeping, and Food Service Management, etc.)
1400	Law
1500	Letters (includes Creative Writing, Literatu[illegible]losophy, Speech, etc.)
1600	Library Science
1700	Mathematics
1800	Military Sciences
1900	Physical Sciences (includes Chemi[illegible]s, Earth[illegible] Sciences, etc.)
2000	Psychology
2100	Public Affairs and Social Se[illegible]
2200	Social Sciences (includes A[illegible]onomics, History, Political Science, Sociol[illegible]
2300	Theology and Religion
4900	Interdisciplinary Stu[illegible]
6000	Other
7000	Undecided but pro[illegible]ur or more years

Programs usually [illegible] t[illegible]our years of study

5000	Business a[illegible]ologies (includes Accounting, Banking[illegible]el and Restaurant Management, etc.)
5005	Secretarial Techn[illegible]udes Office Supervising and M[illegible]ement, Stenog[illegible]and Typing Technology, etc.)
5006	[illegible] Service Tech[illegible]gies (includes Stewardess Training, [illegible]
5100	[illegible]ologies (includes Computer [illegible]unching, etc.)
520[illegible]	[illegible]d Paramedical Technologies (includes [illegible]nd Medical Assistant Technology, LPN, Occupational an[illegible] Therapy Technology, etc.)
[illegible]00	Mec[illegible]nd Engineering Technologies (includes Aero[illegible]al and Automotive Technology, Welding, [illegible]ctro[illegible]cs, Architectural Drafting, etc.)
[illegible]	[illegible]truction and Building Technologies (includes Carpentry, [illegible]bing, Sheet Metal, Heating, etc.)
[illegible]	[illegible]ral Science Technologies (includes Agriculture Technology, [illegible]vironmental Health Technology, Forestry and Wildlife Technology, etc.)
[illegible]	Food Services Technologies (includes Food Service Supervising, Institutional Food Preparation, etc.)
5500	Public Service Technologies (includes Law Enforcement Technology, Teacher Aide Training, Fire Control Technology, Public Administration Technology, etc.)
5506	Recreation and Social Work Related Technologies
8000	Other
9000	Undecided but probably less than four year program

NOTE: On the actual SOIS Questionnaires, LIST A is printed on a panel extending from page 2. Because it is identical in all questionnaires, it is reprinted in this appendix only once.

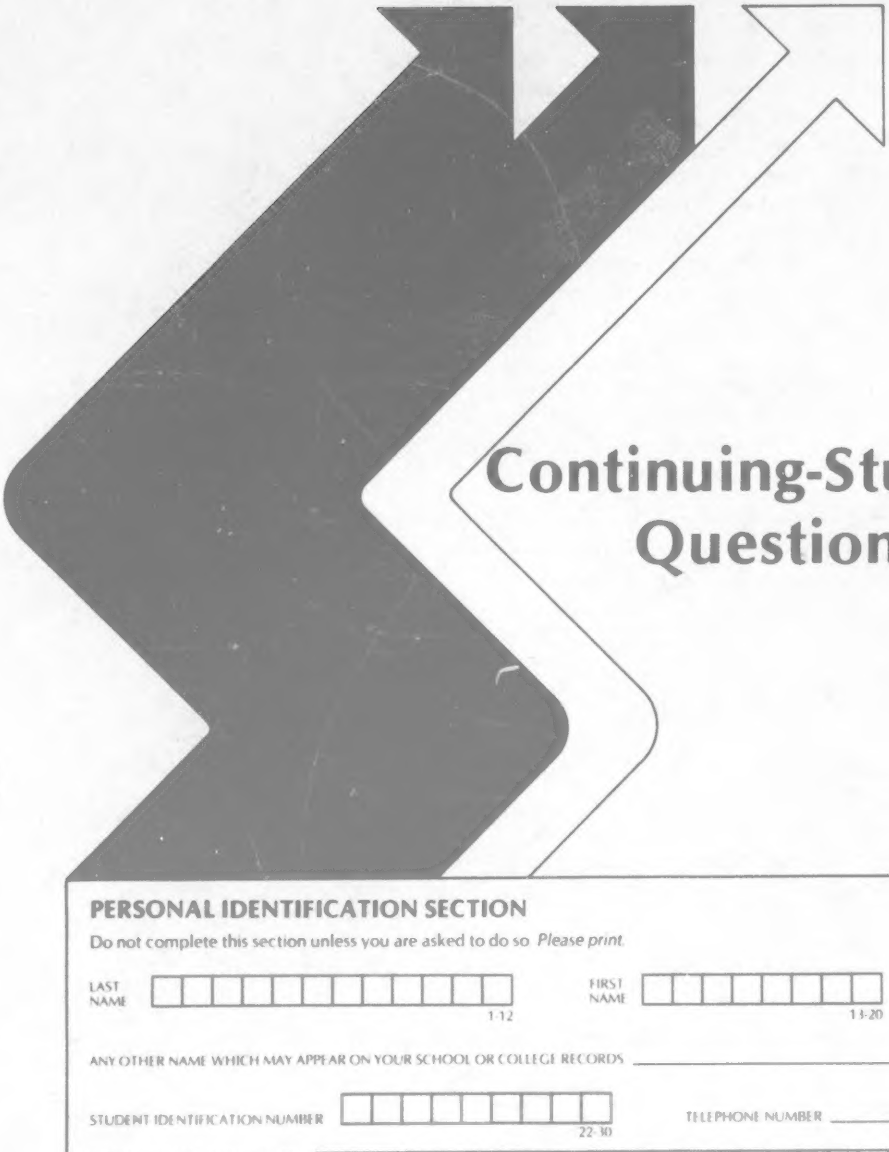
LIST B: OCCUPATIONAL TITLES

01 Agricultural and Forestry Occupations, Fishers, and Hunters
02 Clerical Occupations
03 Construction, Drilling, and Mining Occupations
04 Engineers and Architects
05 Executive, Administrative, and Managerial Occupations
06 Health-Diagnosing and Treating Practitioners
07 Health Technologists and Technicians
08 Marketing and Sales Occupations
09 Material Handlers, Equipment Cleaners, and Laborers
10 Mechanics and Repairers
11 Military Occupations
12 Natural Scientists and Mathematicians
13 Nurses, Pharmacists, Dietitians, Therapists, and Physicians' Assistants
14 Production Occupations (Occupations concerned with setting up, operating, or tending of machines and with hand production, usually in a factory or shop)
15 Service Occupations
16 Social Scientists, Social Workers, Religious Workers, and Lawyers
17 Teachers, Librarians, and Counselors
18 Technologists and Technicians (except Health)
19 Transportation and Material-Moving Occupations
20 Writers, Artists, Editors, and Athletes
21 Other

SAMPLE

More questions on page 4 →

NOTE: LIST B, printed on the backside of the panel showing LIST A, is included only with the Recent-Alumni Questionnaire; in all other questionnaires this panel is blank.



Continuing-Student Questionnaire

PERSONAL IDENTIFICATION SECTION

Do not complete this section unless you are asked to do so *Please print.*

LAST NAME ☐☐☐☐☐☐☐☐☐☐☐☐ 1-12 FIRST NAME ☐☐☐☐☐☐☐☐ 13-20 MIDDLE INITIAL ☐ 21

ANY OTHER NAME WHICH MAY APPEAR ON YOUR SCHOOL OR COLLEGE RECORDS ____________________

STUDENT IDENTIFICATION NUMBER ☐☐☐☐☐☐☐☐☐ 22-30 TELEPHONE NUMBER ______ - ____________

PERMANENT MAILING ADDRESS NUMBER AND STREET ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 31-55

CITY ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 56-70 STATE ☐☐ 71 72 ZIP CODE ☐☐☐☐☐ 73-77

National Center for Higher Education Management Systems
The College Board

STANDARD QUESTIONS SECTION

INSTRUCTIONS:

Specific directions are given for completing many of the questions in this questionnaire. Where no directions are given, please circle the number or letter of the most appropriate response, such as in the sample question below.

Sample:

4. Are you currently married?
   0 Yes
   [✓ 1 No]

If you are not currently married, you would circle the number 1.

1. What is your sex?

78
- 0 Female
- 1 Male

2. How do you describe yourself? *Circle one.*

79
- 0 American Indian or Alaskan Native
- 1 Asian, Pacific Islander, or Filipino
- 2 Black or Afro-American
- 3 Hispanic, Chicano, or Spanish-speaking American
- 4 White or Caucasian
- 5 Other ______________

3. How old are you?

80
- 0 Under 18
- 1 18 to 22 years
- 2 23 to 25 years
- 3 26 to 30 years
- 4 31 to 40 years
- 5 41 to 50 years
- 6 51 to 60 years
- 7 61 years or more

4. Are you currently married?

81
- 0 Yes
- 1 No

5. Do you feel that you have a permanent handicap? *Circle all that apply.*

82 0 No
83 1 Yes, restricted mobility
84 2 Yes, restricted hearing
85 3 Yes, restricted vision
86 4 Yes, but I prefer not to record it on this form
87 5 Other ______________

6. How long have you been at our college?

88
- 0 One term
- 1 One year
- 2 Two years
- 3 Three years
- 4 Four years
- 5 Five years
- 6 Six years
- 7 More than six years

7. The following statements reflect the goals of many college students. *In the first column, please circle the letters of those goals that are important to you at this time. In the second column, circle the letters of those goals you feel you are achieving or have achieved.*

These goals are important to me at this time		These goals I am achieving or have achieved		
				Academic Goals
89	A	90	A	To increase my knowledge and understanding in an academic field
91	B	92	B	To obtain a certificate or degree
93	C	94	C	To complete courses necessary to transfer to another educational institution
95	D	96	D	Other ______________
				Career-Preparation Goals
97	E	98	E	To discover career interests
99	F	100	F	To formulate long-term career plans and/or goals
101	G	102	G	To prepare for a new career
103	H	104	H	Other ______________
				Job- or Career-Improvement Goals
105	I	106	I	To improve my knowledge, technical skills and/or competencies for my job or career
107	J	108	J	To increase my chances for a raise and/or promotion
109	K	110	K	Other ______________
				Social- and Cultural-Participation Goals
111	L	112	L	To become actively involved in student life and campus activities
113	M	114	M	To increase my participation in cultural and social events
115	N	116	N	To meet people
117	O	118	O	Other ______________
				Personal-Development and Enrichment Goals
119	P	120	P	To increase my self-confidence
121	Q	122	Q	To improve my leadership skills
123	R	124	R	To improve my ability to get along with others
125	S	126	S	To learn skills that will enrich my daily life or make me a more complete person
127	T	128	T	To develop my ability to be independent, self-reliant, and adaptable
129	U	130	U	Other ______________

SAMPLE

8. From the list of goals in question 7, please select the three that are most important to you at this time and enter their codes below. For example, if your most important goal is "To obtain a certificate or degree," enter the letter B in the first box.

Most Important ☐ 131
Second Most Important ☐ 132
Third Most Important ☐ 133

9. What degree are you **currently** working toward at our college, **and** what is the highest degree you **ultimately** plan to earn? *Circle a number in each column.*

Current (134)	Ultimate (135)	
0	0	Not seeking a certificate or degree
1	1	Certificate
2	2	Associate degree
3	3	Bachelor's degree
4	4	Master's degree
5	5	Specialist degree (e.g., Ed.S.)
6	6	Professional degree (e.g., medical, law, theology)
7	7	Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

10. a. Please write in your intended major or area of study at our college.

____

b. Now look at **List A: Majors and Areas of Study and** enter in the boxes below the **code number of the** category in which your major **or area of study falls.**

☐☐☐☐
136-139

11. What is your intended **enrollment status?**

140
- 0 Primarily for **credit — full-time** (12 **or more** hours each term enrolled)
- 1 Primarily for credit — **part-time** (less than 12 hours each **term** enrolled)
- 2 Primarily **not** for credit

12. What is your primary employment or occupation status at **this time?** *Circle the most appropriate response.*

141
- 0 **Employed more than** half time
- 1 **Employed half time** or less
- 2 Homemaker, **not** employed outside of the home
- 3 Not employed but would like to work
- 4 Not employed and do not care to work while attending college

13. When would you prefer to take your classes?

142
- 0 Weekday mornings
- 1 Weekday afternoons
- 2 Weekday evenings
- 3 Anytime during the week
- 4 Anytime during the weekend
- 5 No preference

14. Do you plan to enroll at **our college** next term?

143
- 0 Yes
- 1 No, I will **complete my** program this term
- 2 No, but I plan **to return at some future** date
- 3 No, I plan **to transfer to another college**
- 4 No, I have **no plans for additional** education at this time
- 5 I do not yet know my **plans for** next term

15. Concerning financial **aid,** which of the following is true for **you?**

144
- 0 **I have received financial** aid
- 1 **I have applied** for **financial** aid but was denied
- 2 I **have not applied for** financial aid but plan to apply in **the future**
- 3 I do not **think** I will ever apply

16. The following are services provided by colleges. How **would** you evaluate these services as provided by our **college?** *For each service, circle the number of the* ***response*** *that is most appropriate.*

	did not know about this service	I knew about this service but did not use it	I used this service and was satisfied with it	I used this service but was not satisfied with it	
145	0	1	2	3	Admissions
146	0	1	2	3	Registration
147	0	1	2	3	Business office
148	0	1	2	3	Academic advising
149	0	1	2	3	Guidance, counseling, and testing
150	0	1	2	3	Reading, writing, math, and study-skills improvement
151	0	1	2	3	Tutoring
152	0	1	2	3	Minority affairs
153	0	1	2	3	College cultural programs
154	0	1	2	3	Recreation and athletic programs
155	0	1	2	3	Financial aid
156	0	1	2	3	Student employment
157	0	1	2	3	Career planning
158	0	1	2	3	Job placement
159	0	1	2	3	Housing services
160	0	1	2	3	Cafeteria
161	0	1	2	3	Health services
162	0	1	2	3	Library
163	0	1	2	3	Child care
164	0	1	2	3	Bookstore
165	0	1	2	3	Parking
166	0	1	2	3	Campus security
167	0	1	2	3	Other ________________

ADDITIONAL QUESTIONS SECTION

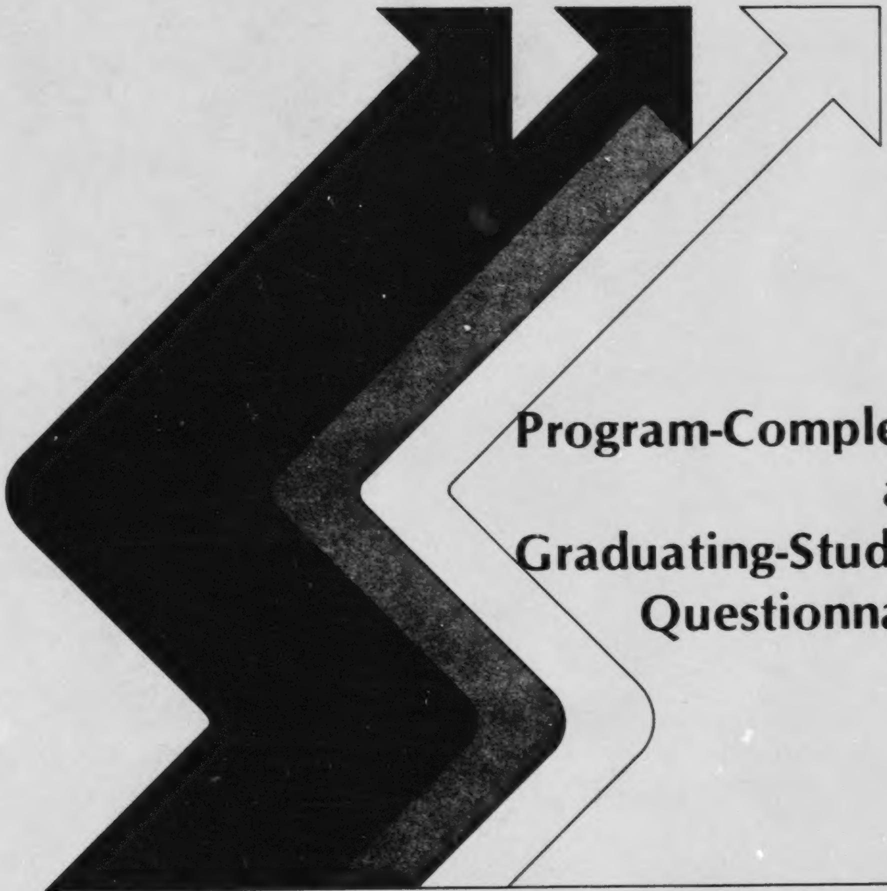
Additional questions may have been added to this printed form by your college. If you have been asked to answer additional questions, please use the boxes below to record your responses

☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
17	**18**	**19**	**20**	**21**	**22**	**23**	**24**	**25**	**26**	**27**	**28**	**29**	**30**	**31**
168	169	170	171	172	173	174	175	176	177	178	179	180	181	182

Please use the space below for any comments you have about our college, this questionnaire, or anything else you care to share with us.

SAMPLE

9341600000045400
10M 279 LP Rob 2BA307



Program-Completer and Graduating-Student Questionnaire

PERSONAL IDENTIFICATION SECTION

Do not complete this section unless you are asked to do so *Please print.*

LAST NAME ☐☐☐☐☐☐☐☐☐☐☐☐ 1-12 FIRST NAME ☐☐☐☐☐☐☐☐ 13-20 MIDDLE INITIAL ☐ 21

ANY OTHER NAME WHICH MAY APPEAR ON YOUR SCHOOL OR COLLEGE RECORDS ________________________

STUDENT IDENTIFICATION NUMBER ☐☐☐☐☐☐☐☐☐ 22-30 TELEPHONE NUMBER ______ - __________

PERMANENT MAILING ADDRESS NUMBER AND STREET ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 31-55

CITY ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 56-70 STATE ☐☐ 71-72 ZIP CODE ☐☐☐☐☐ 73-77

National Center for Higher Education Management Systems
The College Board

SAMPLE

STANDARD QUESTIONS SECTION

INSTRUCTIONS:

Specific directions are given for completing many of the questions in this questionnaire. Where no directions are given, please circle the number or letter of the most appropriate response, such as in the sample question below.

Sample:

4. Are you currently married?
   0 Yes
   [✓ 1 No]

If you are not currently married, you would circle the number 1.

1. What is your sex?
78 ┌0 Female
   └1 Male

2. How do you describe yourself? *Circle one*
   0 American Indian or Alaskan Native
   1 Asian, Pacific Islander, or Filipino
   2 Black or Afro-American
79 3 Hispanic, Chicano, or Spanish-speaking American
   4 White or Caucasian
   5 Other ____________

3. How old are you?
   0 Under 18
   1 18 to 22 years
   2 23 to 25 years
   3 26 to 30 years
80 4 31 to 40 years
   5 41 to 50 years
   6 51 to 60 years
   7 61 years or more

4. Are you currently married?
81 ┌0 Yes
   └1 No

5. Do you feel that you have a permanent handicap? Circle all that apply.
82 0 No
83 1 Yes, restricted mobility
84 2 Yes, restricted hearing
85 3 Yes, restricted vision
86 4 Yes, but I prefer not to record it on this form
87 5 Other ____________

6. How long have you been at our college?
   0 One term
   1 One year
   2 Two years
88 3 Three years
   4 Four years
   5 Five years
   6 Six years
   7 More than six years

7. The following statements reflect the goals of many college students. *In the first column, please circle the letters of those goals that are important to you at this time. In the second column, circle the letters of those goals you feel you are achieving or have achieved.*

These goals are important to me at this time ↓

These goals I am achieving or have achieved ↓

				Academic Goals
89	A	90	A	To increase my knowledge and understanding in an academic field
91	B	92	B	To obtain a certificate or degree
93	C	94	C	To complete courses necessary to transfer to another educational institution
95	D	96	D	Other ____________
				Career-Preparation Goals
97	E	98	E	To discover career interests
99	F	100	F	To formulate long-term career plans and/or goals
101	G	102	G	To prepare for a new career
103	H	104	H	Other ____________
				Job- or Career-Improvement Goals
105	I	106	I	To improve my knowledge, technical skills, and/or competencies for my job or career
107	J	108	J	To increase my chances for a raise and/or promotion
109	K	110	K	Other ____________
				Social- and Cultural-Participation Goals
111	L	112	L	To become actively involved in student life and campus activities
113	M	114	M	To increase my participation in cultural and social events
115	N	116	N	To meet people
117	O	118	O	Other ____________
				Personal-Development and Enrichment Goals
119	P	120	P	To increase my self-confidence
121	Q	122	Q	To improve my leadership skills
123	R	124	R	To improve my ability to get along with others
125	S	126	S	To learn skills that will enrich my daily life or make me a more complete person
127	T	128	T	To develop my ability to be independent, self-reliant and adaptable
129	U	130	U	Other ____________

SAMPLE

8. From the list of goals in question 7, please select the three that are most important to you at this time and enter their codes below. For example, if your most important goal is "To obtain a certificate or degree," enter the letter B in the first box.

Most Important ☐ 131 | Second Most Important ☐ 132 | Third Most Important ☐ 133

9. Which of the following are you receiving from our college?

114
- 0 Certificate
- 1 Associate degree
- 2 Bachelor's degree
- 3 Master's degree
- 4 Specialist degree (e.g., Ed.S.)
- 5 Professional degree (e.g., medicine, law, theology)
- 6 Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

10. a. Please write in your major or area of study while at our college.

____

b. Now look at **List A: Majors and Areas of Study** and enter in the boxes below the code number of the category in which your major or area of study falls.

☐☐☐☐
135-138

11. What has been your primary enrollment status while attending our college?

139
- 0 Primarily for credit—full-time (12 or more hours each term enrolled)
- 1 Primarily for credit—part-time (less than 12 hours each term enrolled)
- 2 Primarily not for credit

12. For the program you are now completing, were any of the credits earned from another college? *Circle all that apply.*

140
- 0 No, they were all earned here
- 1 Yes, from a public two-year college
- 2 Yes, from a public four-year college or university
- 3 Yes, from a private college or university
- 4 Yes, from a vocational/technical school, hospital school of nursing, trade school, or business school
- 5 Other ____________________________

13. The following are services provided by colleges. How would you evaluate these services as provided by our college? *For each service, circle the number of the response that is most appropriate.*

	I did not know about this service	I knew about this service but did not use it	I used this service and was satisfied with it	I used this service but was not satisfied with it	
141	0	1	2	3	Admissions
142	0	1	2	3	Registration
143	0	1	2	3	Business office
144	0	1	2	3	Academic advising
145	0	1	2	3	Guidance, counseling, and testing
146	0	1	2	3	Reading, writing, math, and study-skills improvement
147	0	1	2	3	Tutoring
148	0	1	2	3	Minority affairs
149	0	1	2	3	College cultural programs
150	0	1	2	3	Recreation and athletic programs
151	0	1	2	3	Financial aid
152	0	1	2	3	Student employment
153	0	1	2	3	Career planning
154	0	1	2	3	Job placement
155	0	1	2	3	Housing services
156	0	1	2	3	Cafeteria
157	0	1	2	3	Health services
158	0	1	2	3	Library
159	0	1	2	3	Child care
160	0	1	2	3	Bookstore
161	0	1	2	3	Parking
162	0	1	2	3	Campus security
163	0	1	2	3	Other ________________

14. Have you taken any licensing or certification examination related to your major or area of study at our college?

164
- 0 Yes, I have taken and passed an exam
- 1 Yes, I have taken an exam but do not yet know the results
- 2 Yes, I have taken an exam but did not pass
- 3 No, I have not taken any exams but plan to do so
- 4 No, and I do not plan to take any

15. What are your current employment plans?

165
- 0 I plan to continue working in the same job I had prior to completing this educational program
- 1 I plan to work in a job I recently obtained
- 2 I am currently looking for a job
- 3 I do not plan to work outside the home
- 4 I have not yet formulated my employment plans
- 5 Other ____________________________

16. If you currently have or will be starting a new job, to what extent is it related to your major or area of study at our college?

166
- 0 Directly related
- 1 Somewhat related
- 2 Not related

17. a. Do you currently have plans for additional education?

167
- 0 No, not at this time
- 1 Yes, I plan to reenroll at this college
- 2 Yes, I have already enrolled at another college
- 3 Yes, I plan to enroll at another college
- 4 I am currently undecided about any additional education

b. If you circled response 2 or 3, please write in the name of the college you plan to attend

____

18. If you plan to continue your education, what is the highest degree you **ultimately** plan to earn?

168
- 0 Certificate
- 1 Associate degree
- 2 Bachelor's degree
- 3 Master's degree
- 4 Specialist degree (e.g., Ed.S.)
- 5 Professional degree (e.g., medicine, law, theology)
- 6 Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

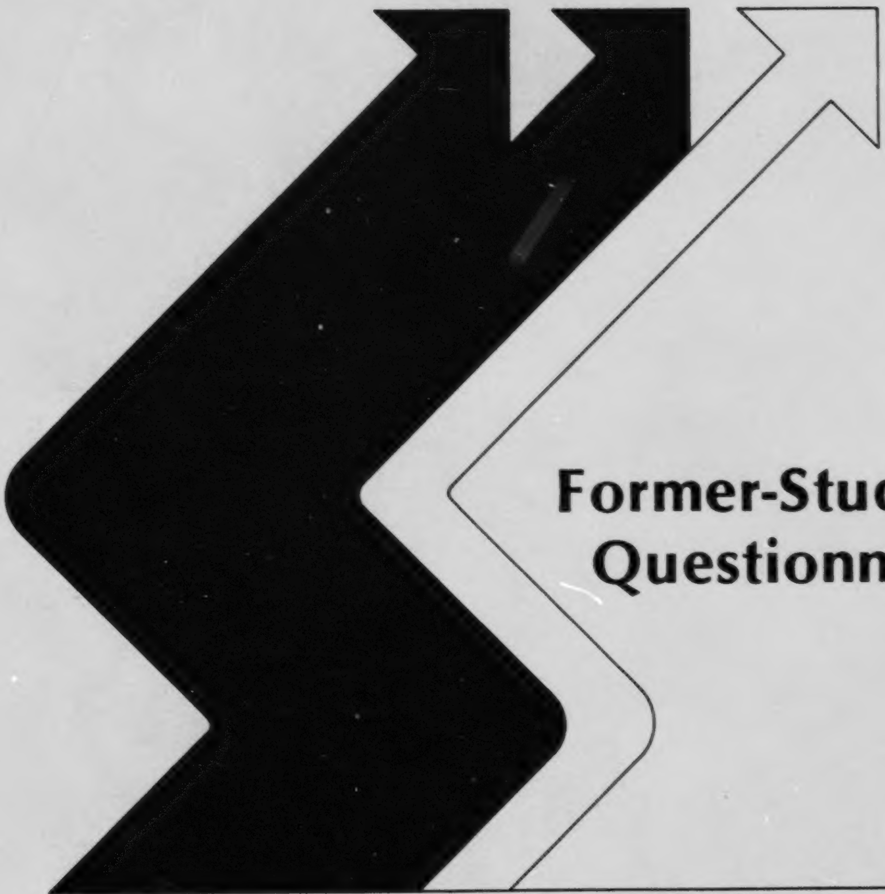
ADDITIONAL QUESTIONS SECTION

Additional questions may have been added to this printed form by your college. If you have been asked to answer additional questions, please use the boxes below to record your responses.

☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
19	**20**	**21**	**22**	**23**	**24**	**25**	**26**	**27**	**28**	**29**	**30**	**31**	**32**	**33**
169	170	171	172	173	174	175	176	177	178	179	180	181	182	183

Please use the space below for any comments you have about our college, this questionnaire, or anything else you care to share with us.

SAMPLE



Former-Student Questionnaire

PERSONAL IDENTIFICATION SECTION

Do not complete this section unless you are asked to do so. *Please print.*

LAST NAME ☐☐☐☐☐☐☐☐☐☐☐☐ 1-12
FIRST NAME ☐☐☐☐☐☐☐☐ 13-20
MIDDLE INITIAL ☐ 21

ANY OTHER NAME WHICH MAY APPEAR ON YOUR SCHOOL OR COLLEGE RECORDS ____________________

STUDENT IDENTIFICATION NUMBER ☐☐☐☐☐☐☐☐☐ 22-30
TELEPHONE NUMBER ______ - ____________

PERMANENT MAILING ADDRESS STREET AND NUMBER ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 31-55

CITY ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 56-70
STATE ☐☐ 71-72
ZIP CODE ☐☐☐☐☐ 73-77

National Center for Higher Education Management Systems
The College Board

STANDARD QUESTIONS SECTION

INSTRUCTIONS:

Specific directions are given for completing many of the questions in this questionnaire. Where no directions are given, please circle the number or letter of the most appropriate response, such as in the sample question below.

Sample:

4. Are you currently married?
0 Yes
[✓ 1] No

If you are not currently married, you would circle the number 1.

1. What is your sex?
78 0 Female
1 Male

2. How do you describe yourself? *Circle one.*
79 0 American Indian or Alaskan Native
1 Asian, Pacific Islander, or Filipino
2 Black or Afro-American
3 Hispanic, Chicano, or Spanish-speaking American
4 White or Caucasian
5 Other ______________________________

3. How old are you?
80 0 Under 18
1 18 to 22 years
2 23 to 25 years
3 26 to 30 years
4 31 to 40 years
5 41 to 50 years
6 51 to 60 years
7 61 years or more

4. Are you currently married?
81 0 Yes
1 No

5. Do you feel that you have a permanent handicap? Circle all that apply.
82 0 No
83 1 Yes, restricted mobility
84 2 Yes, restricted hearing
85 3 Yes, restricted vision
86 4 Yes, but I prefer not to record it on this form
87 5 Other ______________________________

6. How long did you attend our college?
88 0 One term
1 One year
2 Two years
3 Three years
4 Four years
5 Five years
6 Six years
7 More than six years

7. The following statements reflect the goals of many college students. *In the first column, please circle the letters of those goals that were important to you when you attended our college. In the second column, circle the letters of those goals you feel you are achieving or have achieved as a result of your experiences at our college.*

These goals were important to me
These goals I am achieving or have achieved

				Academic Goals
89	A	90	A	To increase my knowledge and understanding in an academic field
91	B	92	B	To obtain a certificate or degree
93	C	94	C	To complete courses necessary to transfer to another educational institution
95	D	96	D	Other ______________________
				Career-Preparation Goals
97	E	98	E	To discover career interests
99	F	100	F	To formulate long-term career plans and/or goals
101	G	102	G	To prepare for a new career
103	H	104	H	Other ______________________
				Job- or Career-Improvement Goals
105	I	106	I	To improve my knowledge, technical skills, and/or competencies in my job or career
107	J	108	J	To increase my chances for a raise and/or promotion
109	K	110	K	Other ______________________
				Social- and Cultural-Participation Goals
111	L	112	L	To become actively involved in student life and campus activities
113	M	114	M	To increase my participation in cultural and social events
115	N	116	N	To meet people
117	O	118	O	Other ______________________
				Personal-Development and Enrichment Goals
119	P	120	P	To increase my self-confidence
121	Q	122	Q	To improve my leadership skills
123	R	124	R	To improve my ability to get along with others
125	S	126	S	To learn skills that will enrich my daily life or make me a more complete person
127	T	128	T	To develop my ability to be independent, self-reliant, and adaptable
129	U	130	U	Other ______________________

SAMPLE

SAMPLE

8. From the list of goals in question 7, please select the three that were most important to you when you attended our college. For example, if your most important goal was "To obtain a certificate or degree," enter the letter B in the first box.

Most Important ☐ 131 Second Most Important ☐ 132 Third Most Important ☐ 133

9. What degree were you seeking when you attended our college?

0 Not seeking a certificate or degree
1 Certificate
2 Associate degree
3 Bachelor's degree
134 — 4 Master's degree
5 Specialist degree (e.g., Ed.S.)
6 Professional degree (e.g., medicine, law, theology)
7 Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

10. a. Please write in your major or area of study at our college.

____

b. Now look at **List A: Majors and Areas of Study** and enter in the boxes below the code number of the category in which your major or area of study falls.

☐☐☐☐
135-138

11. a. Was our college your first choice?

139 — 0 Yes
1 No

b. If no, what kind of college was your first choice?

0 A public two-year college
1 A public four-year college or university
140 — 2 A private college or university
3 A vocational/technical school, hospital school of nursing, trade school, or business school
4 Other ____________________

What was the name of the college that was your first choice?

____

12. When you left our college, what was your overall grade point average (GPA)?

0 4.00 to 3.01
1 3.00 to 2.01
141 — 2 2.00 to 1.01
3 1.00 or less
4 Unknown or did not have one

13. What was your primary enrollment status when you attended our college?

0 Primarily for credit — full-time (12 or more hours each term enrolled)
142 — 1 Primarily for credit — part-time (less than 12 hours each term enrolled)
2 Primarily **not** for credit

14. While you were enrolled, how many hours did you normally work when classes were being held?

0 I was not employed
1 Employed 1-10 hours per week
143 — 2 Employed 11-20 hours per week
3 Employed 21-35 hours per week
4 Employed 36 hours or more per week

15. Did you apply for financial assistance (loan or scholarship) while at our college?

0 Yes, and I received it
144 — 1 Yes, but I did not receive it
2 Yes, but I left before I found out if I received it
3 No

16. The decision to leave a particular college can be motivated by a variety of reasons. *Please circle the letters of all of the reasons that contributed to your decision to leave our college.*

Academic Reasons

145 A Achieved my academic goals
146 B Transferred to another college
147 C Needed a break from college
148 D Courses/programs I wanted were not available
149 E Dissatisfied with my academic performance
150 F Dissatisfied with the quality of teaching
151 G Dissatisfied with the learning environment
152 H Course work not what I wanted
153 I Unsure of my academic goals
154 J Other ____________________

Financial Reasons

155 K Did not have enough money to continue
156 L Could not obtain sufficient financial aid
157 M Could not earn enough money while enrolled
158 N Other ____________________

Other Reasons

159 O Achieved my personal goals
160 P Accepted a job or entered the military
161 Q College experience not what I expected
162 R Few people I could identify with
163 S Moved out of the area
164 T Could not work and go to school at the same time
165 U Other responsibilities became too great
166 V Personal problems
167 W Other ____________________

17. From the list of reasons in question 16, please select the three most important reasons and enter their codes below. For example, if the most important reason was that you "Transferred to another college," enter the letter B in the first box.

Most Important ☐ 168
Second Most Important ☐ 169
Third Most Important ☐ 170

18. The following are services provided by colleges. How would you evaluate these services as provided by our college? *For each service, circle the number of the response that is most appropriate.*

0 I did not know about this service
1 I knew about this service but did not use it
2 I used this service and was satisfied with it
3 I used this service but was not satisfied with it

171	0	1	2	3	Admissions
172	0	1	2	3	Registration
173	0	1	2	3	Business office
174	0	1	2	3	Academic advising
175	0	1	2	3	Guidance, counseling, and testing
176	0	1	2	3	Reading, writing, math, and study-skills improvement
177	0	1	2	3	Tutoring
178	0	1	2	3	Minority affairs
179	0	1	2	3	College cultural programs
180	0	1	2	3	Recreation and athletic programs
181	0	1	2	3	Financial aid
182	0	1	2	3	Student employment
183	0	1	2	3	Career planning
184	0	1	2	3	Job placement
185	0	1	2	3	Housing services
186	0	1	2	3	Cafeteria
187	0	1	2	3	Health services
188	0	1	2	3	Library
189	0	1	2	3	Child care
190	0	1	2	3	Bookstore
191	0	1	2	3	Parking
192	0	1	2	3	Campus security
193	0	1	2	3	Other ________________

19. a. Do you currently have plans for additional education?

194
- 0 No, not at this time
- 1 Yes, I plan to reenroll at this college
- 2 Yes, I have already enrolled at another college
- 3 Yes, I plan to enroll at another college
- 4 I am currently undecided about any additional education

b. If you circled responses 2 or 3, please write in the name of the college you plan to attend or are attending.

____

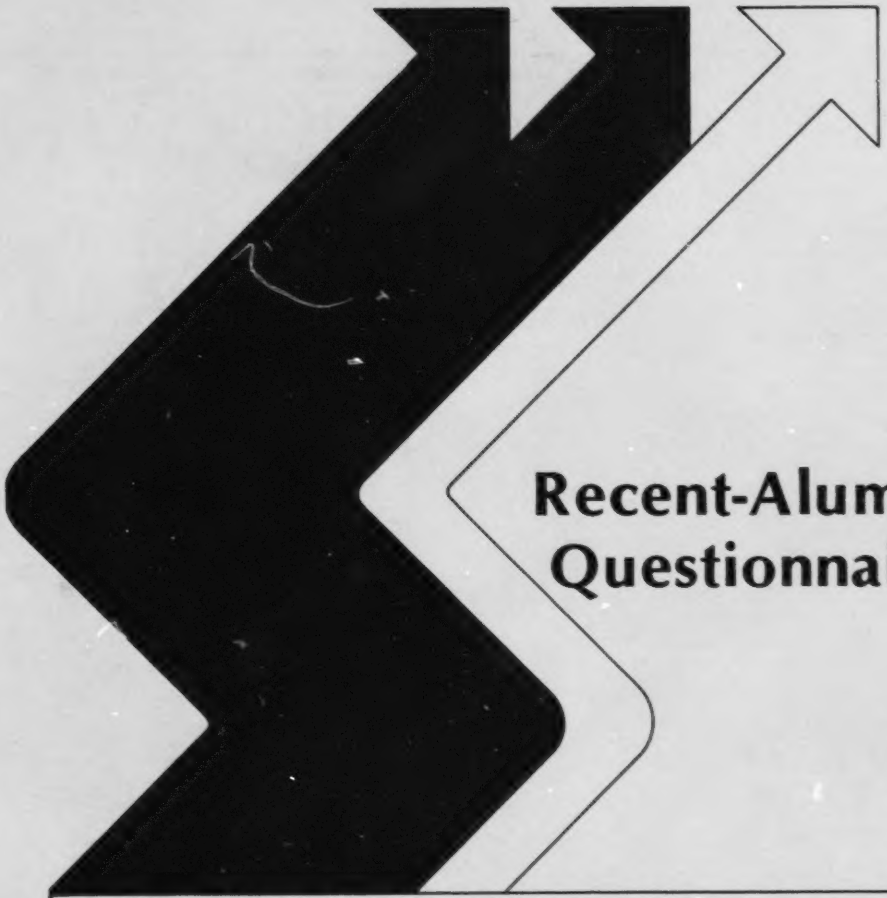
ADDITIONAL QUESTIONS SECTION

Additional questions may have been added to this printed form by your college. If you have been asked to answer additional questions, please use the boxes below to record your responses.

☐	☐	☐	☐	☐
20	**21**	**22**	**23**	**24**
195	196	197	198	199
☐	☐	☐	☐	☐
25	**26**	**27**	**28**	**29**
200	201	202	203	204
☐	☐	☐	☐	☐
30	**31**	**32**	**33**	**34**
205	206	207	208	209

Please use the space below for any comments you have about our college, this questionnaire, or anything else you care to share with us.

SAMPLE



Recent-Alumni Questionnaire

PERSONAL IDENTIFICATION SECTION

Do not complete this section unless you are asked to do so. *Please print.*

LAST NAME ☐☐☐☐☐☐☐☐☐☐☐☐ 1-12

FIRST NAME ☐☐☐☐☐☐☐☐ 13-20

MIDDLE INITIAL ☐ 21

ANY OTHER NAME WHICH MAY APPEAR ON YOUR SCHOOL OR COLLEGE RECORDS ______________________

STUDENT IDENTIFICATION NUMBER ☐☐☐☐☐☐☐☐☐ 22-30

TELEPHONE NUMBER ______ - ____________

PERMANENT MAILING ADDRESS STREET AND NUMBER ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 31-55

CITY ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ 56-70

STATE ☐☐ 71-72

ZIP CODE ☐☐☐☐☐ 73-77

National Center for Higher Education Management Systems
The College Board

STANDARD QUESTIONS SECTION

INSTRUCTIONS:

Specific directions are given for completing many of the questions in this questionnaire. Where no directions are given, please circle the number or letter of the most appropriate response, such as in the sample question below.

Sample:

4. Are you currently married?
   0 Yes
   [✓ 1 No]

If you are not currently married, you would circle the number 1.

1. What is your sex?
78 — 0 Female
1 Male

2. How do you describe yourself? *Circle one.*
79 — 0 American Indian or Alaskan Native
1 Asian, Pacific Islander, or Filipino
2 Black or Afro-American
3 Hispanic, Chicano, or Spanish-speaking American
4 White or Caucasian
5 Other ____________________

3. How old are you?
80 — 0 Under 18
1 18 to 22 years
2 23 to 25 years
3 26 to 30 years
4 31 to 40 years
5 41 to 50 years
6 51 to 60 years
7 61 years or more

4. Are you currently married?
81 — 0 Yes
1 No

5. Do you feel that you have a permanent handicap? *Circle* **all** *that apply.*
82 0 No
83 1 Yes, restricted mobility
84 2 Yes, restricted hearing
85 3 Yes, restricted vision
86 4 Yes, but I prefer not to record it on this form
87 5 Other ____________________

6. How long did you attend our college?
88 — 0 One term
1 One year
2 Two years
3 Three years
4 Four years
5 Five years
6 Six years
7 More than six years

7. The following statements reflect the goals of many college students. *In the first column, please circle the letters of those goals that were important to you when you attended our college. In the second column, circle the letters of those goals you feel you are achieving or have achieved as a result of your experiences at our college.*

These goals were important to me when I attended this college ↓

These goals I am achieving or have achieved ↓

				Academic Goals
89	A	90	A	To increase my knowledge and understanding in an academic field
91	B	92	B	To obtain a certificate or degree
93	C	94	C	To complete courses necessary to transfer to another educational institution
95	D	96	D	Other ____________________
				Career-Preparation Goals
97	E	98	E	To discover career interests
99	F	100	F	To formulate long-term career plans and/or goals
101	G	102	G	To prepare for a new career
103	H	104	H	Other ____________________
				Job- or Career-Improvement Goals
105	I	106	I	To improve my knowledge, technical skills, and/or competencies for my job or career
107	J	108	J	To increase my chances for a raise and/or promotion
109	K	110	K	Other ____________________
				Social- and Cultural-Participation Goals
111	L	112	L	To become actively involved in student life and campus activities
113	M	114	M	To increase my participation in cultural and social events
115	N	116	N	To meet people
117	O	118	O	Other ____________________
				Personal-Development and Enrichment Goals
119	P	120	P	To increase my self-confidence
121	Q	122	Q	To improve my leadership skills
123	R	124	R	To improve my ability to get along with others
125	S	126	S	To learn skills that will enrich my daily life or make me a more complete person
127	T	128	T	To develop my ability to be independent, self-reliant, and adaptable
129	U	130	U	Other ____________________

8. From the list of goals in question 7, please select the three that were most important to you when you attended this college and enter their codes below. For example, if your most important goal was "To obtain a certificate or degree," enter the letter B in the first box.

Most Important ☐ 131   Second Most Important ☐ 132   Third Most Important ☐ 133

SAMPLE

SAMPLE

9. What was the most recent certificate or degree you received from our college?

- 0 Certificate
- 1 Associate degree
- 2 Bachelor's degree
- 134— 3 Master's degree
- 4 Specialist degree (e.g., Ed.S.)
- 5 Professional degree (e.g., medicine, law, theology)
- 6 Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

10. a. Please write in the major or area of study associated with the certificate or degree referred to in question 9

____

b. Now look at **List A: Majors and Areas of Study** and enter in the boxes below the code number of the category in which your major or area of study falls.

☐☐☐☐
135-138

11. If you plan to continue your education, what is the highest degree you **ultimately** plan to earn?

- 0 Certificate
- 1 Associate degree
- 2 Bachelor's degree
- 139— 3 Master's degree
- 4 Specialist degree (e.g., Ed.S.)
- 5 Professional degree (e.g., medicine, law, theology)
- 6 Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

12. Have you taken any licensing or certification examination related to your major or area of study at our college?

- 0 Yes, I have taken and passed an exam
- 1 Yes, I have taken an exam but do not yet know the results
- 140— 2 Yes, I have taken an exam but did not pass
- 3 No, I have not taken any exams, but plan to do so
- 4 No, and I do not plan to take any

13. Since completing your program at our college, have you enrolled at another college?

- 141— 0 Yes
- 1 No → *If No, skip to question 19.*

14. a. What kind of college did you first attend after you completed your program at our college?

- 0 A public two-year college
- 1 A public four-year college
- 2 A private college or university
- 142— 3 A vocational/technical school, hospital school of nursing, trade school, or business school
- 4 Other ______________________________

b. Please write in the name of that college.

____

15. What certificate or degree were you seeking at the college referred to in question 14?

- 0 Certificate
- 1 Associate degree
- 2 Bachelor's degree
- 143— 3 Master's degree
- 4 Specialist degree (e.g., Ed.S.)
- 5 Professional degree (e.g., medicine, law, theology)
- 6 Doctoral degree (e.g., Ph.D., Ed.D., D.B.A.)

16. a. Please write in your intended major or area of study at the college referred to in question 14.

____

b. Now look again at **List A: Majors and Areas of Study** and enter in the boxes below the code number of the category in which your intended major or area of study at the college referred to in question 14 falls.

☐☐☐☐
144-147

17. How well did our college prepare you for your additional college work?

- 0 Excellent preparation
- 1 Good preparation
- 148— 2 Adequate preparation
- 3 Inadequate preparation
- 4 Does not apply

18. Did you transfer any credits from our college toward your additional college work?

- 0 Yes
- 149— 1 No, I did not try to transfer any credits
- 2 No, I tried but they were not accepted

19. Are you currently employed?

- 0 Yes, I have a full-time job outside of the home
- 150— 1 Yes, I have a part-time job outside of the home
- 2 No, I am not currently employed outside of the home → *If No, skip to question 26.*

20. a. Describe your current job (e.g., accountant, engineer, salesperson, teacher).

____

b. Now look at **List B: Occupational Titles** and enter in the boxes below the code number of the category in which your current job falls.

☐☐
151-152

204

21. After completing your program at our college, how long did you look for work before obtaining your **first** job?

0 Had a job which continued after I completed my program
1 Obtained a job just prior to graduation
153— 2 Less than two months after graduation
3 Two to three months after graduation
4 Four to eight months after graduation
5 More than eight months after graduation

22. How did you find your **first** job?

0 College placement office or professor
1 Professional periodicals or organizations
2 Civil Service application
154— 3 Employment agency
4 Newspaper advertisement
5 Direct application to employer
6 Friends or relatives
7 Other ____________________

23. What is/was your annual salary or wage in your **first** job?

0 Less than $3,000 per year
1 $3,000 to $5,999 per year
2 $6,000 to $8,999 per year
3 $9,000 to $11,999 per year
155— 4 $12,000 to $14,999 per year
5 $15,000 to $17,999 per year
6 $18,000 to $20,999 per year
7 $21,000 to $23,999 per year
8 $24,000 or more per year

24. How well did our college prepare you for your **first** job?

0 Excellent preparation
1 Good preparation
156— 2 Adequate preparation
3 Inadequate preparation
4 Not applicable to first job

25. To what extent is/was your **first** job related to your major or area of study at our college?

0 Directly related
157— 1 Somewhat related
2 Not related

26. If you currently are not employed or are not working in a job related to your major or area of study at our college, which of the following applies?

158— 0 I never looked for work related to my major or area of study
1 I looked for work related to my major or area of study but could not find any

27. Whether you are currently employed or not, would you be willing to move to another community to work in a job related to your major or area of study at our college?

159— 0 Yes
1 No

ADDITIONAL QUESTIONS SECTION

Additional questions may have been added to this printed form by your college. If you have been asked to answer additional questions, please use the boxes below to record your responses.

☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
28	**29**	**30**	**31**	**32**	**33**	**34**	**35**	**36**	**37**	**38**	**39**	**40**	**41**	**42**
160	161	162	163	164	165	166	167	168	169	170	171	172	173	174

Please use the space below for any comments you have about our college, this questionnaire, or anything else you care to share with us.

SAMPLE

9341600000045400
10M 279 LP Rob 2BA310

Personnel

206

Peoples College
Summary Form No. 14

ACADEMIC STAFFING TABLE

Physics	Current Salary and Benefits	75-76	76-77	77-78	78-79	79-80
Hyde, T.	$12,000	X	X	Sab (N)	X	X
Nelson, O. E.	12,500	X	X	X	X	X
Thompson, J.	9,500	X	X	X	X	X
Part-time	3,400	X	X	X	X	X
Adams, B.	6,500	X	X	X	X	X
Subtotal	$42,900	$45,000	$47,300	$45,493	$52,144	$54,700
Spanish						
Bernard, F.	$22,500	X	X	X	X	Retires (R)
Williams, S.	11,700	X	X	X	Sab (R)	X
Language Asst.	2,000	X	X	X	X	X
Subtotal	$36,200	$38,000	$42,000	$44,000	$52,937	$31,920

Etc.

Only department subtotals are provided to the analytical studies team. Note the fluctuations that may occur when a sabbatical is not replaced (N) or replaced (R) or when retirements occur. Since salaries represent a plurality of any institution's expenditures, the need for accurate, complete staffing tables is obvious. The projected salary increases in this table are estimated at 5 percent per year.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

EXAMPLE OF PART OF FACULTY AND STAFF PROJECTION COMPONENT

STAFF REQUIREMENTS (FTE)

Staff Classification	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
					. . .	
ACADEMIC STAFF, Total						
Administrative						
Professor						
Associate Professor						
Assistant Professor						
Instructors						
Lecturers						
Graduate Assistants — Teaching						
Graduate Assistants — Research						
NONACADEMIC STAFF, Total						
Civil Service, Total						
Officials, managers, professionals						
Technicians and skilled craftsmen						
Office and clerical						
Operatives, laborers, service workers						
Non-Civil Service, Total						
Officials, managers, professionals						
Technicians and skilled craftsmen						
Office and clerical						
Operatives, laborers, service workers						
Total						
Memorandum:						
Student employees						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 73.

EXAMPLE OF PART OF FACULTY AND STAFF PROJECTION COMPONENT

STAFF SALARIES

Staff Classification	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
					. . .	
ACADEMIC STAFF, Total						
Administrative						
Professors						
Associate Professors						
Assistant Professors						
Instructors						
Lecturers						
Graduate Assistants — Teaching						
Graduate Assistants — Research						
NONACADEMIC STAFF, Total						
Civil Service, Total						
Officials, managers, professionals						
Technicians and skilled craftsmen						
Office and clerical						
Operatives, laborers, service workers						
Non-Civil Service, Total						
Officials, managers, professionals						
Technicians and skilled craftsmen						
Office and clerical						
Operatives, laborers, service workers						
Total						
Memorandum:						
Student employees						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 74.

EXAMPLE OF PART OF FACULTY AND STAFF PROJECTION COMPONENT

RATIOS OF STUDENT CREDIT HOURS TO FACULTY

Item	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
SCR per Total FTE Faculty						
Lower Division						
Upper Division						
Grad. I*						
Grad. II						
SCR per Direct Instruction FTE Faculty						
Lower Division						
Upper Division						
Grad. I*						
Grad. II						
FTE Enrollment per Total FTE Faculty						
Lower Division						
Upper Division						
Grad. I*						
Grad. II						

*Includes professional programs.

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 75.

MATCHING INDIVIDUAL FACULTY TO SPECIFIC FUNCTIONS

PLANNING PERIOD:
Academic Year 1977-78
DATE:
February 10, 1976

		FACULTY NAME AND RANK		*Door, Jane Professor*			*Kowalski, J. Assoc. Professor*			*Wong, Lin Asst. Professor*			*Marr, Allison Teaching Asst.*			*Etc.*				
		(d) FAC LOAD		*4*			*6*			*6*			*3*							
(a) FUNCTIONS	(b) AY LOAD	(c) TERM LOAD		F	W	S	F	W	S	F	W	S	F	W	S	F	W	S	(g) UNITS MATCHED/TERM	(h) NUMBER OF UNITS (OVER) OR UNDER MATCHED
				1	*2*	*1*	*0*	*3*	*3*	*2*	*2*	*2*	*1*	*1*	*1*					
History 100	*15*	F	*6*	②✓			*0*			*3*✓			*4*✓						*3*	*3*
		W	*4*		⓪✓			*0*✓			*3*✓			*4*✓					*4*	*0*
		S	*5*			②✓			*0*✓			*4*✓			*4*✓				*4*	*1*
History 410	*8, 10*	F	*3, 4*	*3*			*4*			*3*✓			*4*						*1*	*2*
		W	*3*		*3*✓			**5*✓			*4*✓			*4*					*3*	*0*
		S	*2, 3*			*3*			*4*✓			*3*✓			*4*				*2*	*0*
History 570 ⋮	*2*	F	*1*	*3*			*4*			*3*									*0*	*1*
		W	*0*		*3*			*4*			*2*								*0*	*0*
		S	*1*			*3*			*4*✓			*2*							*1*	*0*
Impact of Bicentennial	*.5 FTE*	F	*.3*							*X*									*0*	*0*
		W	*.2*								*X*								*0*	*0*
		S	*0*																*1*	*0*
American Heritage Lectures	*6 times*	F	*3*	*X*			*X*						*X*						*3*	*0*
		W	*1*					*X*											*1*	*0*
		S	*2*						*X*						*X*				*2*	*0*
(e) TOTAL TERM LOAD				*1*	*2*	*1*	*0*	*2*	*3*	*2*	*2*	*2*	*1*	*1*	*1*					
(f) TOTAL FAC LOAD				*4*			*5*			*6*			*3*							

**Indicates that the faculty member will be willing to teach multiple sections of the same course. Reflect more than one match by the number of checks made in that cell.*

ource: Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical eport 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 43.

FACULTY ACTIVITY AND OUTCOME SURVEY

Name____**Date**______**Academic Term**__________

Please address any questions to____**Phone**__________

Upon completion, please detach the form and send it to______________________________________

Purpose of Survey

If you wish to comment, we encourage you to do so on the last page of this booklet.

Use this space for describing the
purpose of the survey and how the
collected data will be used.

Source: Charles W. Manning and Leonard C. Romney, *Faculty Activity Analysis: Procedures Manual*, Technical Report 44 (Boulder, Colo.: NCHEMS at WICHE, 1973), pp. 105-112.

PLEASE READ THE INSTRUCTIONS ON PAGES 2 AND 5 BEFORE YOU COMPLETE THE FORM.

A sample form is included on pages 6 and 7.

GENERAL INSTRUCTIONS

This survey asks you to estimate the average hours per week that you spend this term engaged in different types of activity. It then asks you to estimate the percentage contribution of these hours to the outcomes of the institution. Please read the acivity definitions and examples for each activity as you complete the survey.

Before completing the form, you might find it helpful to make an initial estimate of the average number of hours you spend each week in this term engaged in professional activities. Making this estimate might help you divide your time into the remaining sections of the survey instrument.

SECTION A: TEACHING ACTIVITIES

A.1 Scheduled Teaching: All activities related to courses (degree and nondegree, credit and noncredit, day or evening) given in the current term. These activities would include:

- Meeting informally with course participants
- Supervising these courses
- Meeting scheduled classes
- Grading
- Reading student papers
- Supervising teaching assistants
- Tutoring
- Supervising independent study
- Giving remedial help to course participants
- Supervising laboratories
- Evaluating students
- Contacting guest lecturers
- Preparing lectures
- Preparing media

Instructions for Columns (a) through (j)

(a) Do not complete this column. This column will be used to assign a discipline code to each course.

(b) Enter the department, college, or other unit designation under which the course is taught.

(c) Enter the number or other designation for the course and section.

(d) Enter the number of students enrolled and code (R) if course material is remedial (below college level) or (E) if it is extension (principally directed toward nonmatriculated students).

(e) Enter the number of student credit hours given for course. In the case of variable credit, give the credit hour range.

(f) Enter the method of instruction as coded below. When multiple methods are used, list them in order of importance.

(g) Enter the scheduled contact hours/week.

(h) Enter the average hours/week of unscheduled contact with students in course.

(i) Enter the average hours/week spent in preparing and arranging the activities of the current course.

(j) Enter the total average hours/week [sum of columns (g), (h), and (i) in Section A.1].

Method of Instruction Column (f)

Code	Method	Definition
A	Lecture	Formal presentation—primarily one-way communication
B	Laboratory	Instructing, preparing, and supervising student investigations
C	Recitation/Discussion	Two-way communication of course materials
D	Seminar	Students carry the major responsibility for preparation
E	Independent Study	Students work independently with only minimal faculty direction
F	Tutorial	Students work one-to-one with the instructor
G	Programmed Instruction	Course contents presented through programed materials

A.2 Unscheduled Teaching: Teaching not associated with the specific courses listed in A.1. For example:

- Thesis committee participation
- Thesis advising
- Discussions with colleagues about teaching
- Guest lecturing in another faculty member's course
- Giving seminars within the institution

A.3 Academic Program Advising: Giving advice to students concerning course scheduling and academic programs. Not to be confused with counseling that is included in C.1.

A.4 Course and Curriculum Research and Development: Developing and preparing for future courses. For example:

- Preparing course outlines
- Developing book lists
- Evaluating courses
- Devising new instructional materials
- Revising existing materials
- Planning summer or intersession programs
- Developing department curriculum requirements
- Evaluating teaching effectiveness and planning changes

Level Codes Column (p)

Code	Description	Code	Description
A	Preparatory	E	Upper division and graduate
B	Lower division	F	Graduate
C	Upper division	G	Professional
D	Undergraduate	H	Other

NAME ______________________ I.D. OR SOCIAL SECURITY NO. ______________________

FOR INSTITUTIONAL USE

ADDITIONAL INFORMATION BLOCK									FISCAL REFERENCE BLOCK						
INSTITUTION	TERM	TENURE	YEARS AT INSTITUTION	YEARS IN RANK	PRINCIPAL DEPARTMENT	ADMINISTRATION RANK	FACULTY RANK	LENGTH OF APPOINTMENT	REF. COL.	FTE	ACCOUNT TITLE	DEPARTMENT/UNIT	PCS CODE	ACCOUNT NUMBER	SALARY DOLLARS

INITIAL ESTIMATE OF YOUR OVERALL AVERAGE HOURS PER WEEK ☐

SECTION A: TEACHING ACTIVITIES											PERCENTAGE DISTRIBUTION TO INSTITUTIONAL OUTCOMES				
A. 1 SCHEDULED TEACHING										(j) AVERAGE HOURS PER WEEK	(k) STUDENT GROWTH AND DEVELOPMENT %	(l) DEVELOPMENT OF NEW KNOWLEDGE AND ART FORMS %	(m) COMMUNITY SERVICE AND DEVELOPMENT %	(n) INSEPARABLE COMBINATION OF (k) + (l) + (m) %	(o) FISCAL REFERENCE DO NOT WRITE IN THIS COLUMN
(a) HEGIS Do not write in this column	(b) DEPT. UNIT	(c) COURSE & SECTION #	(d) SECTION		(e) CREDIT HOURS	(f) METHOD OF INSTRUCTION	(g) + (h) + (i) = (j)								
			Enrollment	Code R if Remedial E if Extension			(g) FORMAL CONTACT HOURS	(h) OTHER CONTACT HOURS	(i) PREPARATION & ADMINISTRATION						
					SUBTOTAL										

Tear Here

	(p) LEVEL	(q) ACTIVITY DESCRIPTION						
A.2 UNSCHEDULED TEACHING								
A.3 ACADEMIC PROGRAM ADVISING								
A.4 COURSE AND CURRICULUM RES. & DEVELOP.								
		SUBTOTAL						

OUTCOME DEFINITION

This section of the form allows you to indicate what outcomes your activities principally benefit. Please try to make a rough estimate of the percentage distribution for each of your actvities to the followng outcomes:

(k) **Student Growth and Development:** Results and benefits of activities that contribute to enhancing personal, social, academic and/or career aspects of students who are registered in the institution.

(l) **Development of New Knowledge and Art Forms:** Results and benefits of activities that contribute to the development, storage, utilization, and/or appreciation of knowledge and art in society.

(m) **Community Service and Development:** Results and benefits of activities that contribute to educational growth in and provide short- or long-term utility to the non-academic community.

(n) **Inseparable Combination of (k) + (l) + (m):** Results and benefits of activities that contribute to student growth and development, creation of new knowledge and art forms, and community service and development and cannot be separated. (It is preferable to separate these if possible.)

COLUMN (O)

(o) Do not complete this column. This column will be used to link account codes to reported activities.

ACTIVITY		(i) ACTIVITY DESCRIPTION	(j) AVERAGE HOURS PER WEEK	PERCENTAGE DISTRIBUTION TO INSTITUTIONAL OUTCOMES (k) STUDENT GROWTH AND DEVELOPMENT %	(l) DEVELOPMENT OF NEW KNOWLEDGE AND ART FORMS %	(m) COMMUNITY SERVICE AND DEVELOPMENT %	(n) INSEPARABLE COMBINATION OF (j), (k) + (l) %	(o) FISCAL REFERENCE DO NOT WRITE IN THIS COLUMN
SECTION B: RESEARCH, SCHOLARSHIP & CREATIVE WORK ACTIVITIES	B.1 SPECIFIC PROJECTS							
	B.2 GENERAL SCHOLARSHIP AND PROFESSIONAL DEVELOPMENT							
		SUBTOTAL						

		CODE LEVEL							
SECTION C: INTERNAL SERVICE ACTIVITIES	C.1 STUDENT-ORIENTED SERVICE								
	C.2 ADMINISTRATIVE DUTIES								
	C.3 COMMITTEE PARTICIPATION								
			SUBTOTAL						

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SECTION D: PUBLIC SERVICE ACTIVITIES	GENERAL PROFESSIONAL SERVICE ADVICE DIRECTED OUTSIDE THE INSTITUTION							
		SUBTOTAL						

AVERAGE HRS WEEK	

LEVEL OF ADMINISTRATIVE AND COMMITTEE ACTIVITIES

Code	Level
1	Department/Unit
2	College/School/Division
3	Campuswide

PLEASE READ THE INSTRUCTIONS ON THIS PAGE AS YOU COMPLETE THE FORM TO THE LEFT

SECTION B: RESEARCH, SCHOLARSHIP, AND CREATIVE WORK ACTIVITIES

B.1 Specific Projects: Research, scholarship, and creative work activity related to a specific project. For example:

- Departmental research
- Sponsored research
- Performing your professional skill
- Your dissertation research
- Reviewing a colleague's research work
- Writing or developing research proposals
- Administering research grants
- Giving recitals
- Maintaining an artistic skill
- Writing articles
- Writing books
- Writing reviews
- Creating new art forms
- Exhibitions

B.2 General Scholarship and Professional Development: All research, scholarship, and creative work activities related to keeping current in a professional field. For example:

- Reading articles and books related to your profession
- Officer in a professional society
- Attending professional meetings
- Attending seminars
- Research-related discussion with colleagues
- Editor of a journal

SECTION C: INTERNAL SERVICE ACTIVITIES

This section includes activities related to general contact with students, to professional responsibilities within other organizational units within the institution, and to fulfilling institutonal requests.

C.1 Student-oriented Service: For example:

- Personal, career, and financial counseling
- Preparing recommendations
- Participation in social interaction
- Recruiting students
- Sponsoring student organizations
- Meeting with parents
- Attending student recitals
- Coaching intramural or intercollegiate athletics
- Directing the band, orchestra, student plays, debate team, or any other student group

C.2 Administrative Duties: For example:

- Performing the duties of a department chairman, dean, vice-president or any other administrative position
- Administering personnel policies
- Faculty service reports and questionnaires
- Keeping records
- Preparing minutes
- Writing and answering memoranda
- Assigning faculty course loads
- Preparing budgets
- Gathering data
- Helping during registration
- Interviewing candidates for faculty positions
- Escorting visitors
- Recruiting faculty
- Advising on library purchases
- Recruiting students

C.3 Committee Participation. For example:

- Admission committees
- Departmental meetings
- Faculty senate
- Planning committees
- Budget committees

Code the level of these activities as described at the foot of the form.

SECTION D: PUBLIC SERVICE ACTIVITIES

This section includes activities that are directed outside the institution [except for those associated with community education (extension instruction), which should be included in A.1.].

General Professional Services/Advice Directed Outside the Institution: Activities meant to benefit the community outside the institution. For example:

- Consulting
- Advising
- Professionally performing as in plays, orchestras
- Community training grants
- Patient care
- Lectures or seminars for the public
- Agricultural extension
- Urban extension

NAME ______________________ I.D. OR SOCIAL SECURITY NO. ______________________

FOR INSTITUTIONAL USE

INITIAL ESTIMATE OF YOUR OVERALL AVERAGE HOURS PER WEEK: 65

SECTION A: TEACHING ACTIVITIES											PERCENTAGE DISTRIBUTION TO INSTITUTIONAL OUTCOMES				
A. 1 SCHEDULED TEACHING										(j) AVERAGE HOURS PER WEEK					
			(d) SECTION				(g) + (h) + (i) = (j)								
(a) HEGIS Do not write in this column	(b) DEPT. UNIT	(c) COURSE & SECTION #	Enrollment	Code R if Remedial E if Extension	(e) CREDIT HOURS	(f) METHOD OF INSTRUCTION	(g) FORMAL CONTACT HOURS	(h) OTHER CONTACT HOURS	(i) PREPARATION & ADMINISTRATION		(k) STUDENT GROWTH AND DEVELOPMENT %	(l) DEVELOPMENT OF NEW KNOWLEDGE AND ART FORMS %	(m) COMMUNITY SERVICE AND DEVELOPMENT %	(n) INSEPARABLE COMBINATION OF (k) + (l) + (m) %	(o) FISCAL REFERENCE DO NOT WRITE IN THIS COLUMN
	CHEM	424-1	17	E	3	D	3	3	5.5	11.5	100				
	CHEM	425-1	74		1	A	2	3	1.0	6.0	100				
	CHEM	425-4	17		3	B/C	3	4	5.0	12.0	85	15			
	CHEM	491	8		1	E	2	4	2.5	8.5	60	30	10		
					SUBTOTAL					38.0					

Tear Here

	(p) LEVEL	(q) ACTIVITY DESCRIPTION						
A.2 UNSCHEDULED TEACHING	G	Student Discussion		100				
A.3 ACADEMIC PROGRAM ADVISING	E	Graduate Student Advising	2.0	100				
	B	Entering Freshmen Advising	1.5	100				
A.4 COURSE AND CURRICULUM RES. & DEVELOP.		Course Outline-Solid Polymers Course	1.5	70	30			
		SUBTOTAL	5.0					

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	ACTIVITY	(g) ACTIVITY DESCRIPTION	(i) AVERAGE HOURS PER WEEK	PERCENTAGE DISTRIBUTION TO INSTITUTIONAL OUTCOMES (k) STUDENT GROWTH AND DEVELOPMENT %	(l) DEVELOPMENT OF NEW KNOWLEDGE AND ART FORMS %	(m) COMMUNITY SERVICE AND DEVELOPMENT %	(n) INSEPARABLE COMBINATION OF (j), (k) + (l) %	(o) FISCAL REFERENCE DO NOT WRITE IN THIS COLUMN
SECTION B: RESEARCH, SCHOLARSHIP & CREATIVE WORK ACTIVITIES	B.1 SPECIFIC PROJECTS	Institute for Materials Research	5.5	40	60			
		NSF 02165	4.0	50	50			
		Writing P Chem. Text	1.0	50	50			
	B.2 GENERAL SCHOLARSHIP AND PROFESSIONAL DEVELOPMENT	Reading Journals & Papers	4.0	50			50	
		Attending Professional Meetings	.5				100	
		SUBTOTAL	15					

		CODE LEVEL							
SECTION C: INTERNAL SERVICE ACTIVITIES	C.1 STUDENT-ORIENTED SERVICE								
	C.2 ADMINISTRATIVE DUTIES	1	Completing Forms	.5				100	
	C.3 COMMITTEE PARTICIPATION	3	Pres. Candidate Selec. Comm.	1.5				100	
		1	Fac. Candidate Review Comm.	1.5				100	
			SUBTOTAL	3.5					

Tear Here

SECTION D: PUBLIC SERVICE ACTIVITIES	GENERAL PROFESSIONAL SERVICE ADVICE DIRECTED OUTSIDE THE INSTITUTION	Consulting to NIH	1.5		100			
		SUBTOTAL	1.5					

AVERAGE HRS WEEK	63

Additional information on faculty and staff are submitted by all institutions of higher education with more than 15 employees. The information goes to the Equal Opportunity Commission on Form EEO-6 (EEOC Form 221, Higher Education Staff Information). Each institution may wish to reexamine data included for applicability to their planning information. The form, used in 1975, 1977, and 1979, has not been reproduced here because of its length.

Finances

Peoples College
Form No. 12

DEPARTMENTAL OPERATING BUDGET

1383-xx701-000 Account Number	Account Title	Actual Expense 1974-1975	Budget 1975-1976	Requested For 1976-1977	Administrative Action for 1976-1977 Revisions	Approved Budget
04	Student Help	$1,608.00				
24	Fees and Guarantees					
30	Office & Instructional Supplies	132.00	$ 600.00	$ 600.00		$ 600.00
38	Other Supplies	2.00				
42	Subscriptions and Books					
48	Printing**	449.00	1,000.00	1,000.00		1,000.00
45	Telephone & Telegraph	138.00	100.00	100.00		100.00
47	Postage	29.00	100.00	100.00		100.00
46	Audiovisual**					
29	Other Purchased Services	231.00				
41	Dues and Memberships	135.00				
50	Travel and Subsistence*	(225.00)	1,000.00	1,000.00		1,000.00
54	Meals	144.00	50.00	50.00		50.00
73	Maint. & Repair of Equip.	35.00	100.00	50.00		50.00
19	Expense Allowance		1,000.00	1,000.00		1,000.00
56	Operation of Mac Vehicle	10.00				
For Budget Dept. Use	Other					
	Totals	$2,688.00	$3,950.00	$3,900.00		$3,900.00

* *Not for travel to professional meetings, which is budgeted centrally.*

** *Your request should separate internal from external purchases.*

Date____________________

Signed____________________

Chairman

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

FIGURE 7

DIRECT PROGRAM COSTS

DEPARTMENT OR DISCIPLINE	PROGRAM OR MAJOR			
	Philosophy major lower level	Philosophy major upper level	Psychology major lower level	Psychology major upper level
Sociology lower division	800 × $20	50 × $20	100 × $20	50 × $20
Sociology upper division	90 × $30	900 × $30	0 × $30	0 × $30
Political Science lower division	200 × $10	10 × $10	1700 × $10	9 × $10
Political Science upper division	50 × $20	0 × $20	50 × $20	400 × $20
Average of all other disciplines contributing to philosophy and psychology programs	1000 × $40	1500 × $40	2500 × $20	300 × $40

Total Program Costs	Total Credit Hours Taken by All Students in Each Program	Average Cost per Program Credit (Rounded)
$22,200	2460	$ 9
$70,000	2740	$26
$88,100	2460	$36
$61,700	2140	$29
	(From IWLM)	

Source: Raymond N. Kieft, Frank Armijo, and Neil Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 33.

FIGURE 6

DIRECT UNIT COSTS FOR DEPARTMENTS OR DISCIPLINES

DIRECT COSTS
(From Financial-Data Source)

Sociology, lower division	$20,000
Sociology, upper division	30,000
Political science, lower division	20,000
Political science, upper division	10,000

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TOTAL CREDITS
(From IWLM)

Sociology, lower division	1000
Sociology, upper division	1000
Political science, lower division	2000
Political science, upper division	500

=

DIRECT UNIT COSTS
(Cost per Credit)

Sociology, lower division	$20
Sociology, upper division	30
Political science, lower division	10
Political science, upper division	20

Source: Raymond N. Kieft, Frank Armijo, and Neil Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 32.

SUMMARY OF DEPARTMENTAL COST

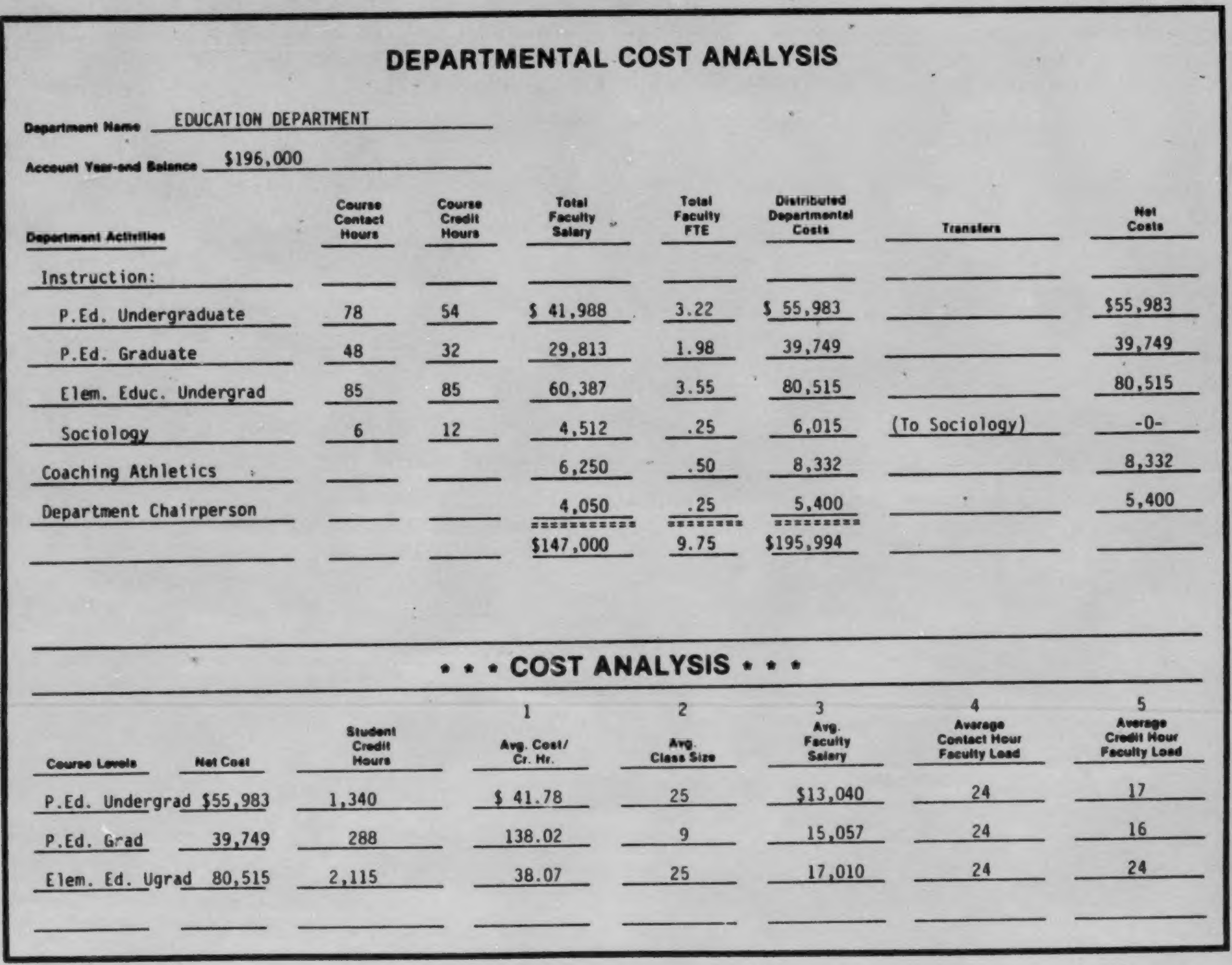
DEPARTMENTAL COST ANALYSIS

Department Name EDUCATION DEPARTMENT

Account Year-end Balance $196,000

Department Activities	**Course Contact Hours**	**Course Credit Hours**	**Total Faculty Salary**	**Total Faculty FTE**	**Distributed Departmental Costs**	**Transfers**	**Net Costs**
Instruction:							
P.Ed. Undergraduate	78	54	$ 41,988	3.22	$ 55,983		$55,983
P.Ed. Graduate	48	32	29,813	1.98	39,749		39,749
Elem. Educ. Undergrad	85	85	60,387	3.55	80,515		80,515
Sociology	6	12	4,512	.25	6,015	(To Sociology)	-0-
Coaching Athletics			6,250	.50	8,332		8,332
Department Chairperson			4,050	.25	5,400		5,400
			$147,000	9.75	$195,994		

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 22.



DEPARTMENTAL COST ANALYSIS

Department Name EDUCATION DEPARTMENT

Account Year-end Balance $196,000

Department Activities	**Course Contact Hours**	**Course Credit Hours**	**Total Faculty Salary**	**Total Faculty FTE**	**Distributed Departmental Costs**	**Transfers**	**Net Costs**
Instruction:							
P.Ed. Undergraduate	78	54	$ 41,988	3.22	$ 55,983		$55,983
P.Ed. Graduate	48	32	29,813	1.98	39,749		39,749
Elem. Educ. Undergrad	85	85	60,387	3.55	80,515		80,515
Sociology	6	12	4,512	.25	6,015	(To Sociology)	-0-
Coaching Athletics			6,250	.50	8,332		8,332
Department Chairperson			4,050	.25	5,400		5,400
			$147,000	9.75	$195,994		

* * * COST ANALYSIS * * *

Course Levels	**Net Cost**	**Student Credit Hours**	1 **Avg. Cost/ Cr. Hr.**	2 **Avg. Class Size**	3 **Avg. Faculty Salary**	4 **Average Contact Hour Faculty Load**	5 **Average Credit Hour Faculty Load**
P.Ed. Undergrad	$55,983	1,340	$ 41.78	25	$13,040	24	17
P.Ed. Grad	39,749	288	138.02	9	15,057	24	16
Elem. Ed. Ugrad	80,515	2,115	38.07	25	17,010	24	24

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 23.

DATA FOR PROGRAM COSTING

		History				Political Science			
		Undergraduate Students		Graduate Students		Undergraduate Students		Graduate Students	
DISCIPLINES	$ PER CREDIT HOUR	CREDIT HOURS	Cost Allocation	CREDIT HOURS	Cost Allocation	CREDIT HOURS	Cost Allocation	CREDIT HOURS	Cost Allocation
Business Undergraduate Courses	$ 28.75	60				90			
Graduate Courses	52.10							15	
Elem. Ed. Undergraduate Courses	38.07					45			
Graduate Courses	0								
Sociology Undergraduate Courses	31.72	150				90		15	
Graduate Courses	114.78								
Phys. Ed. Undergraduate Courses	41.78	20				30			
Graduate Courses	138.02								
Other Undergraduate Courses	30.15	70				195		15	
Graduate Courses	55.85			120				75	

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 28.

PROGRAM COST COMPUTATIONS

		History				Political Science			
		Undergraduate Students		Graduate Students		Undergraduate Students		Graduate Students	
DISCIPLINES	$ PER CREDIT HOUR	CREDIT HOURS	Cost Allocation	CREDIT HOURS	Cost Allocation	CREDIT HOURS	Cost Allocation	CREDIT HOURS	Cost Allocation
Business Undergraduate Courses	$ 28.75	60	$1,725.00			90	$2,587.00		
Graduate Courses	52.10							15	$781.50
Elem. Ed. Undergraduate Courses	38.07					45	1,713.15		
Graduate Courses	0								
Sociology Undergraduate Courses	31.72	150	4,758.00			90	2,854.80	15	475.80
Graduate Courses	114.78								
Phys. Ed. Undergraduate Courses	41.78	20	835.60			30	1,253.40		
Graduate Courses	138.02								
Other Undergraduate Courses	30.15	70	2,110.50			195	5,879.25	15	452.25
Graduate Courses	55.85			120	$6,702.00			75	4,188.75
Total Program Cost		300		120		450		120	
Total Credit Hours			$9,429.10		6,702.00		14,288.10		5,898.30
Cost Per Program Credit			$ 31.43		55.85		31.75		49.15
Cost Per Student			$ 943.00		$1,340.00		$ 952.00		$1,474.00

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 29.

COMPARISON OF CREDIT HOURS AND DIRECT-COST DATA

	STUDENT CREDIT HOURS		DIRECT COSTS		
DISCIPLINES	Number	% of Institutional Total	Total $	% of Institutional Total	Unit Cost
	A	B	C	D	E
Aerospace science	1,604	0.6	$ 40,100	0.6	$25
AF ROTC	302	0.1	24,462	0.3	81
Anthropology	10,907	3.8	207,233	2.9	19
Art	14,175	5.0	197,675	4.2	21
Biological Science	9,099	3.2	209,277	2.9	23
Botany	1,369	0.5	39,701	0.6	29
Business Administration	17,286	6.1	276,576	3.9	16
Business Education	5,931	2.1	166,068	2.3	28
Chemistry	6,549	2.3	281,607	3.9	43
Chinese	198	0.1	5,742	0.1	29
Communications	1,379	0.5	33,096	0.5	24
Computer Science	683	0.2	28,003	0.4	41
Drama	2,988	1.0	98,604	1.4	33
Economics	5,947	2.1	184,357	2.6	31
Education	44,572	15.6	1,515,448	21.1	34
English	16,665	5.8	399,960	5.6	24
Environmental Studies	953	0.3	20,966	0.3	22
Ethnic Studies	2,011	0.7	68,374	1.0	34
Exploratory Studies	661	0.2	7,932	0.1	12
French	1,390	0.5	48,650	0.7	35
Geography	4,996	1.7	114,908	1.6	23
Geology	3,056	1.1	76,400	1.1	25
German	1,257	0.4	38,967	0.5	31
Health	6,155	2.2	110,790	1.5	18
History	9,462	3.3	198,702	2.8	21
Home Economics	7,799	2.7	194,975	2.7	25
Humanities	3,019	1.1	33,209	0.5	11
Law and Justice	1,010	0.4	28,280	0.4	28
Leisure Studies	2,809	1.0	64,607	0.9	23
Mathematics	12,435	4.4	261,135	3.6	21
Music	13,547	4.7	406,410	5.7	30
Philosophy	4,031	1.8	125,775	1.8	31
Physical Education	11,879	4.2	439,523	6.1	37
Physics	3,590	1.3	96,930	1.4	27
Political Science	4,112	1.4	106,912	1.5	26
Psychology	27,810	9.7	361,530	5.0	13
Religious Studies	185	0.1	3,145	0.1	17
Safety Education	326	0.1	12,062	0.2	37
Social Science	617	0.2	19,127	0.3	31
Sociology	13,157	4.6	210,512	2.9	16
Spanish	3,375	1.2	97,875	1.4	29
Technical/Industrial Education	3,229	1.1	138,847	1.9	43
Zoology	2,036	0.7	73,296	1.0	36
INSTITUTIONAL TOTAL	285,561	100.0*	$7,167,748	100.0*	

*Detail may not add due to rounding

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 36.

RANK-ORDERED DISCIPLINE DATA

RANK	DEPARTMENT NAME	CREDIT HOURS	TOTAL DIRECT COST	DIRECT UNIT COST
1	Education—Other	1,180	$ 9,310	$ 7.89
2	Archaeology	126	1,078	8.55
3	Public Adm./Mgmt.	2,138	19,510	9.13
4	Public Services	106	1,086	10.25
5	Oceanography	1,786	19,364	10.84
6	Banking & Finance	3,648	43,981	12.06
7	Fire Control	870	11,336	13.03
8	Art History	2,035	28,676	14.09
9	Criminology	643	9,164	14.25
10	Geography	1,403	20,347	14.50
11	Elementary Education	14,210	215,015	15.13
12	Chinese	226	3,745	16.57
13	English	2,142	37,378	17.44
14	Psychology	7,081	123,637	17.46
15	Law Enforcement	1,132	20,812	18.39
16	Home Economics	10,584	199,858	18.88
17	Community Service	2,918	55,415	18.99
18	Inhalation Ther.	870	17,558	20.18
19	Economics	2,898	61,700	21.29
20	Urban Studies	336	7,291	21.70
21	History	6,162	136,387	22.13
23	Surgical	855	19,077	22.31
24	Accounting	5,983	135,401	22.63
25	Business Statistics	570	13,687	24,01
26	Spanish	1,206	31,117	25.80
27	Cinematography	386	10,594	27.45
28	Comp. Operator	484	13,681	28.27
29	Secretarial	11,273	323,481	28.70
30	Diesel	3,888	121,147	31.16
31	Const. Buildings	8,558	266,866	31.18
32	Comp. Programmer	5,238	167,196	31.92
33	Automotive	9,747	316,194	32.44
34	Nursing, Pract.	6,407	207,935	32.45
35	Welding	5,224	180,497	34.55
36	Dental Asst.	1,534	58,798	38.33
37	Photography	1,415	56,091	39.64
38	Agriculture	1,080	57,202	52.96
39	Hotel—Rest.	1,207	73,805	61.15
40	Math/Science	119	10,226	85.93
41	Engineering	205	18,375	89.63
42	Team Sports	96	12,486	130.06
43	Org. Chemistry	66	10,557	159.95
44	Physical Science	56	11,084	197.93

Source: Gary Gamso, *An Approach to Cost Studies in Small Colleges* (Boulder, Colo.: NCHEMS, 1978), p. 37.

CURRENT FUND STANDARD SOURCE/USE FORMAT

Year Ended _____

USE OF FUNDS BY FUNCTION (EXPENDITURES)	SOURCE OF FUNDS (REVENUES)													
	Unrestricted Funds		Restricted Funds											
	Undesignated	Designated	Governmental Appropriations			Governmental Grants and Contracts			Private Gifts, Grants, & Contracts	Endowment Income	Independent Operations	Other Sources	Transfers In	Total Funds Used (by function)
			Federal	State	Local	Federal	State	Local						
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
Educational and General														
Instruction														
Research														
Public Service														
Academic Support														
Student Services														
Institutional Support														
Operation and Maintenance of Plant														
Scholarships and Fellowships														
Mandatory Transfers														
Nonmandatory Transfers														
Total Educational and General														
Auxiliary Enterprises														
Hospitals														
Independent Operations														
Total Funds Used (by source)														

9/78

NOTE: The format for this form has evolved from the Higher Education Finance Manual/State-Level Technical Assistance (HEFM/SLTA) project and will be incorporated in a revised edition of the Higher Education Finance Manual. See definitions for Current-Fund Expenditure Categories and Transfers for classification of funds as to use, and see definitions for Current Fund Revenue Categories for classification of funds as to source. (The following point should be noted regarding the Current Fund Revenue Categories in filling out the source/use matrix. The Current Fund Revenue Categories entitled "Tuition and Fees," "Sales and Services of Educational Activities," "Sales and Services of Auxiliary Enterprises," and "Sales and Services of Hospitals" generally involve unrestricted funds only; thus the amounts would be included in either the Undesignated or Designated columns of this matrix. If, however, any such funds were considered restricted, the amounts would be included in the Other Sources column of this matrix under Restricted Funds.)

Source: Sherrill Cloud, *Postsecondary-Education Information Planning at the State Level: Selection of Data to Address Planning Issues* (Boulder, Colo.: NCHEMS, 1979), p. 4.99.

USES OF FUNDS--BY UNIT'S FUNCTIONS

Academic Unit: *History Department*

Academic Period: *Academic Year 1977-78*

Date: *February 20, 1976*

(d) Unit Programs	(e) Unit's Functions / (c) Expected Amount / (b) Code & Name	(a) Restricted Accounts				Designated Accounts (Institutional Budget)			Unrestricted Accounts	(h) TOTALS
		HC0025 Kadas Fund	*HX1225/Mary Deer Fnd.*	*HR7625 Lin Wong*	*HR7725 Smithsonian*	*I00257 Salaries*	*I00258 Travel*	*I00259 Support*	*Fowler*	
		1,500	*2,000*	*6,000*	*3,000*	*75,000*	*2,800*	*2,500*	*500*	*93,300*
Undergraduate	*Hist 100*					*35,000*	*0*	*300*		*35,300*
	Hist 312					*15,000*	*0*	*100*		*15,100*
	Hist 375					*8,250*	*200*	*750*		*9,200*
	Hist 410					*12,500*	*75*	*225*		*12,800*
Continuing Educ.	*Hist 100A*					*6,000*	*500*	*200*		*6,700*
	Hist 310A					*4,500*	*300*	*200*		*5,000*
Individual Rsch.	*Bicentennial Impact*			*6,000*						*6,000*
Community	*American Heritage*				*3,000*					*3,000*
	History Awareness	*1,500*								*1,500*
Personal Adj.	*Counseling*		*2,000*							*2,000*
Tutorials	*COBOL*								*200*	*200*
Student Orgs.	*Advising*							*300*		*300*
Instit. Cont.	*Standards Comm.*									*0*
	President Sel.									*0*
Dept. Cont.	*Faculty Res.*						*2,000*	*200*		*2,200*
Plan. & Mgmt.	*Budget Planning*					*2,000*		*100*		*2,100*
(f) Planned Total		*1,500*	*2,000*	*6,000*	*3,000*	*83,250*	*3,075*	*2,375*	*200*	*101,400*
(g) Variance from Expected Amounts		*0*	*0*	*0*	*0*	*+8,250*	*+275*	*-125*	*-300*	*+8,100*

Source: Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical Report 75 (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 63.

Academic Unit: *History Department*

*Academic Term: *Fall 1977*

Date: *March 1, 1976*

MODULE 1 Functions	MODULE 2 Demand	MODULE 3 Faculty Resources										MODULE 4 Physical Resources	MODULE 5 Finances	MODULE 6 Outcomes	
		A	B	C	D	E	F	G	H	New	New			Planned	Actual
Hist 100 (3 credits)	*6 sec., 135 total enroll.*	✓	✓	✓		✓				✓		*Carlson 102: MWF, 8-10* *Carlson 104: TTh, 1-2:30* *Tape Recorder, Movie Proj., #1&2*	*Salary: 15,000* *Travel: -* *Support: 100*	*Final Exam-85%* *% Passing-95%* *Student Eval.*	
Hist 312 (3 credits)	*3 sec., 65 total enroll.*			✓			✓				✓	*Ivy Hall 401: MWF, 1-2* *Tape Recorder*	*Salary: 7,500* *Travel: -* *Support: 50*	*Final Exam-90%* *% Passing-95%* *Student Eval.*	
Hist 375 (2 credits)	*3 sec., 75 total enroll.*		✓		✓	✓		✓			✓	*Carlson 102: MWF, 10-11*	*Salary: 4,000* *Travel: 200* *Support: 400*	*Final Exam-75%* *% Passing-100%* *Student Eval.*	
⋮															
Hist 310A (noncredit)	*1 sec., 25 enroll.*							✓	✓	✓		*Reid Elem. School: WF, 5-7* *Tape Recorder, Movie Projector #1, Typewriter #2*	*Salary: 2,500* *Travel: 150* *Support: 100*	*Certificate; % Completing-90%*	
Bicentennial Impact Study	*.5 FTE*			✓								*Tape Recorder, Computer Terminal, Calculator, Typewriter #1*	*6,000*	*Book; Oral Report on 1/20/78*	
American Heritage Seminars	*35/Seminar*	✓			✓				✓			*Public Library: T, 7-10* *Tape Recorder, Movie Projector #1&2, Typewriter #1*	*3,000*	*Number of Participants-100*	
⋮															
Budget Planning	*.1 FTE*	✓					✓					*Typewriter #1&2, Computer Terminal, Calculator*	*Salary: 2,000* *Travel: -* *Support: 50*	*Tentative Budget on 12/31/77*	
⋮															

*Use one sheet for each academic term.

NOTE: Any column may be omitted at the discretion of the administrator, e.g., physical resources.

Glenn K. Miyataki and Maureen L. Byers, Academic Unit Planning and Management, Technical Report 75. (Boulder, Colo.: NCHEMS at WICHE, 1976), p. 82.

Peoples College
Form No. 11

PRELIMINARY INCOME AND EXPENDITURE ESTIMATES FOR ACADEMIC AND SUPPORT DEPARTMENTS

		Budget	Projected				
Expenditures		74-75	75-76	76-77	77-78	78-79	79-80
Acct. No.	President's Office						
400000	Salaries	$75,195	$79,494	$83,071	$88,056	$ 93,339	$ 98,940
400004	Student Wages	200	200	205	205	210	210
400007	Travel	3,250	3,300	3,400	3,500	3,600	3,700
400008	Supplies & Expenses	3,500	3,580	3,700	3,700	3,900	3,850
400210	Board Relations	2,000	2,000	2,900	2,900	2,900	2,900
	Subtotal	84,145	88,574	93,276	98,361	103,949	109,600
	Vice President's Office						
404000	Salaries	151,160	161,734	169,012	179,153	189,902	201,296
404002	Temporary Help	1,971	2,000	2,000	2,000	2,000	2,000
404004	Student Wages	1,280	1,290	1,300	1,300	1,350	1,350
	Etc.						

This form should reflect the requests of departments for the five-year period as ascertained from their program plans and budget request forms. The income portion should reproduce revenue estimates as prepared by the chief business officer in a similar line-item format. In short, this form represents a preliminary educational and general budget for the five-year planning period and includes the current budget as a reference point.

A similar form for the auxiliary enterprises of the college should also be prepared for consideration by the planning team and analytical studies team.

Note: Form 20, with projections, may be used in lieu of Form 11.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

Planning as a Cyclical and Continuous Process

EXAMPLE FORMAT FOR FORECASTING INCOME AND EXPENDITURES

	Projection			
	1 Year	2 Years	5 Years	10 Years
I. Income				
1.0 Direct				
1.1 State Capital Funding				
1.2 Operating Funds				
1.3 Student Fees				
1.4 User Charges				
1.5 Reserves				
1.6 Sale Bonds				
1.7 Gifts				
1.8 Federal Government				
1.9 Matching Funds				
1.91 Other (Specify)				
2.0 Special Grants				
2.1 Loans				
2.2 Other (Specify)				
3.0 Indirect Overhead				
II. Expenditures				
1.0 Direct				
1.1 Personnel				
1.11 F T Planning Personnel				
1.12 Civil Service				
1.13 Other Salaries and Wages				
1.14 Other Personnel Directly Assigned to Planning				
1.15 Consultant's Fee				
1.16 Benefits				
1.2 Support Services				
1.21 Supplies				
1.22 Equipment				
1.23 Travel				
1.24 Computer Services				
1.25 Other Support Services				
1.3 Other Direct Cost (Specify)				
2.0 Indirect Cost				
2.1 Personnel Outside of the Major Planning Area, e.g., deans, department heads, vice presidents, presidents, etc.				
2.2 Significant Outside Support Services, Equipment, Supplies, etc.				
2.3 Instructional Overhead				

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 36.

Peoples College
Form No. 6

Physics Department STAFFING AND EXPENDITURE ESTIMATE

	75-76	76-77	77-78	78-79	79-80
Faculty					
Hyde, Thomas	X	X	Sabbatical	X	X
Nelson, O. E.	X	X	X	X	X
Thompson, John	X	X	X	X	X
Part-time	X	X	(X)	(X)	(X)
Total Teaching	3 1/6	3 1/6	2 1/6*	3 1/6*	3 1/6*
Clerical/Technical					
Adams, Bernard	1/2	1/2	1/2	1/2	1/2
Total Salaries	$40,000	$40,000	$39,000*	$44,000*	$46,000*
Fringe Benefits	3,900	4,000	4,150	4,400	4,600
Total Salary & Benefits	$43,900	$44,000	$43,150	$48,400	$50,600

* *Assumes continuation of part-time astrophysicist*

Salary information at many colleges is not available at the departmental level. If not, the salary total may be supplied by the business office, planning assistant, etc. Similarly, the academic dean or other person responsible for approving sabbatical plans may have more accurate information than department chairmen.

This information, salaries, projected salaries, sabbaticals, and replacement salaries particularly lend themselves to computer modeling. A model also allows careful review of staffing or salary alternatives without revealing individual salaries.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

Peoples College
Form No. 6
(continued)

Physics Department STAFFING AND EXPENDITURE ESTIMATE

Account	Budgeted* 74-75	Spent* 74-75	Requested 75-76	76-77	77-78	78-79	79-80
470004 Student Wages	$ 750	$ 765	$ 770	$ 770	$ 780	$ 780	$ 780
470008 Supplies & Expense	2,450	2,410	2,600	2,690	2,770	2,860	2,940
470202 Radiation Facility	280	50	280	280	280	280	280
470010 Travel	100	115	100	100	100	110	110
470915 Equipment	0	0	0	0	0	20,000	0
Total	$3,580	$3,370	$3,750	$3,840	$3,930	$24,030	$4,110
Less income from restricted funds**			0	0	0	20,000	0
Net unrestricted current funds required			$3,750	$3,840	$3,930	$ 4,030	$4,110

** To be completed by Business Office*
*** Attach explanation of restricted fund income*

Departments must submit detailed justification of their budget requests. A copy of this justification should be attached to Form 6.

The explanation of restricted income to be attached to this form should include the nature of the project or item, most likely sources of the funds (where will the proposal be submitted), the name of the principal person submitting the grant request, etc.

If an institution has a large amount of restricted income, it may be desirable to design a specific format for the attachment.

Note: Form 20, with projections, may be used in lieu of Form 6.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

Peoples College
Form No. 9

Physics Department ACADEMIC RESOURCE REQUIREMENTS
1975-1980

To what extent will your department use the resources provided by the following? Be as specific as possible in terms of units, volumes, hours, etc.

75-76 **76-77** **77-78** **78-79** **79-80**

LIBRARY — Present book allocation is adequate. If possible, we would like a copy of *Physical Review* located in Science Hall Reading Room.

COMPUTER — Ten clock hours/week through 1976-77—new courses in 77-78 will increase this to at least fifteen clock hours per week to allow student programming of classroom assignments.

AUDIOVISUAL

Comments:

This is the third year we have requested a chalkboard in SH-103!

As changes in requirements from these supporting services have attendant costs, these costs should be determined and reflected in the budgets of the Library, Computer Center, etc., as they prepare their own plans.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

DEPARTMENT______________________________

BUDGET DEPARTMENT NO.________________________

Peoples College
Form No. 20

PEOPLES COLLEGE BUDGET REQUEST FOR THE FISCAL YEAR ENDING________________

Salaries and Benefits—Faculty and Staff

Name	Rank	Object Code	Budget 1974-75	Budget Request 1975-76	Request as % of 1974-75 Budget
			$	$	$
Total Salaries			$	$	$
Add: TIAA					
FICA					
Subtotal					
Total Salaries and Benefits			$	$	$

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

DEPARTMENT____________________

BUDGET DEPARTMENT NO.____________________

Peoples College
Form No. 20
(continued)

PEOPLES COLLEGE DEPARTMENTAL BUDGET FOR THE FISCAL YEAR ENDING____________

	Object Code	19__-__ Budget	Departmental Request	Approved
SALARIES AND BENEFITS				
Salaries				
Faculty Salaries	02	$______	$______	$______
Staff Salaries	03	______	______	______
Student Help	04	______	______	______
Part-Time Help	06	______	______	______
Staff Benefits		______	______	______
Subtotal		$______	$______	$______
NON-SALARY EXPENSES				
Purchased Services				
Honoraria	22	$______	$______	$______
		______	______	______
Subtotal		$______	$______	$______
Supplies				
Office	30	$______	$______	$______
Instructional	31	______	______	______
Laboratory	32	______	______	______
		______	______	______
Subtotal		$______	$______	$______
Information and Communication				
Dues and Memberships	41	$______	$______	$______
Subscriptions, Books, Publishing	42	______	______	______
Telephone and Telegraph	45	______	______	______
Audiovisual	46	______	______	______
Postage and Meter Rent	47	______	______	______
Printing	48	______	______	______
Others	49	______	______	______
		______	______	______
Subtotal		$______	$______	$______
Travel and Hospitality				
Employee Travel	50	$______	$______	$______
Visitor Travel	51	______	______	______
Meals	54	______	______	______
		______	______	______
Subtotal		$______	$______	$______
Equipment				
Equipment	72	$______	$______	$______
Maintenance and Repair of Equipment	73	______	______	______
Equipment Rental	74	______	______	______
Films and Slides	77	______	______	______
		______	______	______
Subtotal		$______	$______	$______
TOTAL		$______	$______	$______

______________________________ COLLEGE

ACADEMIC PROGRAM-SCHEDULE OF INCOME FROM RESTRICTED CURRENT FUNDS

For Five Year Period Beginning ________________

DEPARTMENT ____________________

SOURCES	19__-19__	19__-19__	19__-19__	19__-19__	19__-19__
Sponsored research projects:					
Other sponsored projects:					
Endowment income:					
Other restricted sources:					
TOTALS					

FORM NO 103

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

______________________COLLEGE

SUPPORT SERVICES

SCHEDULE OF INCOME FROM RESTRICTED CURRENT FUNDS

For Five Year Period Beginning ______________________

DEPARTMENT ______________________

SOURCES	19__-19__	19__-19__	19__-19__	19__-19__	19__-19__
(List individual sources)					
TOTALS					

FORM NO 115

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

FINANCIAL PLAN

K. EXAMPLE OF A RESTRICTED FUNDS INCOME PROJECTION

Projection of restricted current funds
academic program for ten-year period beginning ____________

Division: ________________________

Department: ________________________ Academic year: ________________

	Current committment 19____		Budget year	Planning	years
			19____	19____	19____
	Planned	Actual			
A. Sponsored research projects:*					
Government — federal					
Government — state or local					
Foundations					
Other private sources					
B. Sponsored training projects:					
Government — federal					
Government — state or local					
Foundations					
Other Private sources					
C. Endowment income:					
Government — federal					
Government — state or local					
Foundations					
Other private sources					
D. Other restricted sources:					
Government — federal					
Government — state or local					
Foundations					
Other private sources					
Totals:					

*Identify specific projects when available

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 79.

FORM NO. 120

________________________________ COLLEGE

ESTIMATE OF UNRESTRICTED CURRENT FUNDS REVENUE

For Planning Period Beginning ________________________

REVENUE CATEGORIES	19__-19__	19__-19__	19__-19__	19__-19__	19__-19__
REVENUES					
Tuition and fees					
Federal appropriations					
State appropriations					
Local appropriations					
Federal grants and contracts					
State grants and contracts					
Local grants and contracts					
Private gifts, grants, and contracts					
Endowment income					
Sales and services of educational activities					
Sales and services of hospitals					
Other sources					
TOTAL UNRESTRICTED CURRENT FUNDS REVENUE					

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

______________________________ COLLEGE FORM NO. 121

SCHEDULE OF ANTICIPATED GIFTS AND GRANTS

For Five Year Period Beginning ______________

CATEGORY	19__-19__	19__-19__	19__-19__	19__-19__	19__-19__
Current unrestricted purposes:					
Corporations					
Foundations					
Churches					
Individuals					
U.N.C.F.					
Others					
Total					
Restricted for instruction purposes:					
Corporations					
Foundations					
Governments					
Others					
Total					
Restricted for research purposes:					
Corporations					
Foundations					
Governments					
Others					
Total					
Restricted for public service purposes:					
Corporations					
Foundations					
Governments					
Others					
Total					
Restricted for student aid purposes:					
Corporations					
Foundations					
Governments					
Others					
Total					
Additions to endowment funds:					
Corporations					
Foundations					
Governments					
Others					
Total					
Additions to plant funds:					
Corporations					
Foundations					
Governments					
Others					
Total					
Other purposes					
Corporations					
Foundations					
Governments					
Others					
Total					

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

E. EXAMPLE OF FINANCIAL PLAN — CAPITAL BUDGET COMPONENT

CAPITAL COSTS BY PROGRAM

Functional Classification	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
					. . .	
1. INSTRUCTIONAL ACTIVITIES						
2. ORGANIZED RESEARCH						
3. PUBLIC SERVICE						
4. ACADEMIC SUPPORT						
5. STUDENT SERVICES						
6. INSTITUTIONAL SUPPORT						
7. INDEPENDENT OPERATIONS						
Total						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 71.

EXAMPLE OF FINANCIAL PLAN—CAPITAL BUDGET COMPONENT

CAPITAL COSTS BY CATEGORY

Capital Category	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
DOLLAR REQUIREMENTS:					. . .	
Buildings, Additions, and/or Structures						
Funds to Complete Bond Eligible Buildings						
Land						
Equipment						
Utilities						
Remodeling and Rehabilitation						
Site Improvements						
Planning						
Cooperative Improvements						
Total						
SOURCES OF FUNDS:						
State Funds, Total						
General Revenue						
Other						
Income Fund, Total*						
Federal, Total						
Other, Total						
Auxiliary Enterprises						
Grants and Donations						
Bond Funds						
Other						
Total						
*Less refunds.						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 72.

EXAMPLE OF FINANCIAL PLAN — OPERATING BUDGET COMPONENT
(Expense only)

DETAILED BREAKDOWN OF OPERATING COSTS, BY PROGRAM

Functional Classification	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
					. . .	
1. INSTRUCTIONAL ACTIVITIES, Total						
General Academic Instruction						
Occupational and Vocational						
Special Session Instruction						
Extension Instruction						
Instructional Support						
2. ORGANIZED RESEARCH, Total						
Institutes and Research Centers						
Project Research—Funded						
Individual Research—Nonfunded						
Research Support						
3. PUBLIC SERVICE, Total						
Community Education						
Community Support						
Cooperative Extension Service						
Public Service Support						
4. ACADEMIC SUPPORT, Total						
Libraries						
Museums and Galleries						
Special Academic Functions						
Academic Support Not Elsewhere Classified						
5. STUDENT SERVICES, Total						
Social and Cultural Development						
Supplementary Education						
Counseling and Career Service						
Financial Aid						
Student Services Support						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 76-77.

DETAILED BREAKDOWN OF OPERATING COSTS, BY PROGRAM (Continued)

Functional Classification	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
6. INSTITUTIONAL SUPPORT, Total						
Executive Management						
Fiscal Operations						
General Administrative Services						
Logistic Services						
Faculty and Staff Services						
Community Relations						
Operation and Maintenance of Physical Plant						
Institution Support Not Elsewhere Classified						
7. INDEPENDENT OPERATIONS, Total						
Institutional Operations						
Outside Agencies						
Independent Operations Support						
Total						

OPERATING COSTS, BY OBJECT EXPENDITURE

Object Expenditure	Past Year (PY)	Current (CY) Year	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
					. . .	
PERSONAL SERVICES, Total						
Academic Salaries						
Nonacademic Salaries						
EMPLOYER CONTRIBUTIONS, Total						
COMMODITIES, Total						
Maintenance and Operation of Plant and Equipment						
Other						
CONTRACTURAL SERVICES, Total						
Maintenance and Operation of Plant and Equipment						
Equipment Rental						
Facilities Rental						
Other						
TRAVEL						
EQUIPMENT PURCHASES						
DEBT SERVICE, Total						
IBA Rental						
Debt Retirement						
Interest on Outstanding Debt						
AWARDS AND GRANTS						
Total						
Memorandum:						
Refunds and Advances						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 78.

Peoples College
Form No. 17

EXPENDITURE ESTIMATE: Dean of Students

Personnel	75-76	76-77	77-78	78-79	79-80
Dean of Students*	X	X	X	X	X
Dean of Men	X	X	X	Retires	X
Secretary	X	X	X	X	X
Part-time Secretary	X	X	X	Full-time	X
Salaries and Fringe Benefits	$38,000	$39,900	$41,900	$45,000	$47,300
Student Wages	600	600	650	650	700
Equipment**	—	—	500	—	—
Supplies and Expenses	4,500	4,700	4,950	5,200	5,400
Travel	2,000	2,100	2,200	2,310	2,000
Total	$45,100	$47,300	$50,200	$53,160	$55,400

** To avoid charges of male chauvinism, it should be noted that the dean of students at Peoples College is a woman.*

*** See attached equipment request.*

In the event that restricted funds are supporting any support service program, e.g., a remedial student counseling program paying part of the salary of the dean of men, it should be indicated on this form

Care should be exercised that line items of the budget are accounted for. All budget lines should be included in or reflected on either Form 17 or Form 11. This is true of both income and expenditure lines.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

______________________ COLLEGE

ACADEMIC PROGRAM EXPENDITURES ESTIMATE

DEPARTMENT ______________ For Five Year Period Beginning ______________

ITEM	19__-19__		19__-19__		19__-19__		19__-19__		19__-19__	
	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST
A. Personnel (F.T.E.)										
1. Professors:										
a. Number										
b. Average salary										
c. Total salaries										
2. Associate professors:										
a. Number										
b. Average salary										
c. Total salaries										
3. Assistant professors:										
a. Number										
b. Average salary										
c. Total salaries										
4. Instructors:										
a. Number										
b. Average salary										
c. Total salaries										
5. Non-ranked faculty										
a. Number										
b. Average salary										
c. Total salaries										
6. Clerical staff:										
a. Number										
b. Average salary										
c. Total salaries										
7. Other support personnel										
a. Number										
b. Average salary										
c. Total salaries										
8. Student employees:										
a. Number										
b. Average salary										
c. Total salaries										
TOTALS										
B. Fringe benefits Total salaries and benefits										
C. Equipment: (see attached schedule)										
D. Supplies and expense:										
E. Travel										
TOTAL OPERATING EXPENDITURES										
LESS INCOME FROM OTHER THAN UNRESTRICTED CURRENT FUNDS: (See attached schedule)										
NET UNRESTRICTED CURRENT FUNDS REQUIREMENTS										

FORM 80 [illegible]

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

_______________________________ COLLEGE

ACADEMIC PROGRAM EXPENDITURE ESTIMATE SUMMARY

For Five Year Period Beginning _______________________________

DEPARTMENT	SALARIES	FRINGE BENEFITS	EQUIPMENT	SUPPLIES AND EXPENSE	TRAVEL	TOTAL OPERATING EXPENDITURES	INCOME FROM RESTRICTED CUR. FUNDS	NET UN-RESTRICTED CUR. FUNDS REQUIREMENTS
Name of Department:								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department:								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department:								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Total Academic Program								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								

FORM NO. 109

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

____COLLEGE

SUPPORT SERVICES EXPENDITURE ESTIMATE SUMMARY

For Five Year Period Beginning ____________________________________

DEPARTMENT	SALARIES	FRINGE BENEFITS	EQUIPMENT	SUPPLIES AND EXPENSE	TRAVEL	TOTAL OPERATIONAL EXPENDITURES	INCOME FROM RESTRICTED CURR. FUNDS	NET UNRESTRICTED CURR. REQUIREMENTS
Name of Department								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Name of Department								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Total								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								

FORM NO. 118

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

__________________________ COLLEGE

SUPPORT SERVICES EXPENDITURES ESTIMATE

For Five Year Period Beginning ____________________

DEPARTMENT ____________________

ITEM	19__-19__		19__-19__		19__-19__		19__-19__		19__-19__	
	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST	NUMBER & AVG. SAL.	TOTAL COST
A. Personnel:										
1. Management:										
a. Number										
b. Average salary										
c. Total salaries										
2. Professional Staff:										
a. Number										
b. Average salary										
c. Total salaries										
3. Sub-Professional:										
a. Number										
b. Average Salary										
c. Total salaries										
4. Clerical:										
a. Number										
b. Average salary										
c. Total salaries										
5. Labor Force:										
a. Number										
b. Average salary										
c. Total salaries										
6. Student Employees:										
a. Number										
b. Average salaries										
c. Total salaries										
TOTALS										
B. Fringe benefits										
Total salaries and benefits										
C. Equipment: (See attached schedule)										
D. Supplies and Expense										
E. Travel										
TOTAL OPERATING EXPENDITURES										
LESS INCOME FROM RESTRICTED CURRENT FUNDS: (See Attached schedule)										
NET UNRESTRICTED CURRENT FUNDS REQUIREMENTS										

FORM NO. 114

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

Facilities

259

Peoples College
Form No. 18

PHYSICAL FACILITIES AND OTHER RESOURCE REQUIREMENTS

Dean of Students

	Presently Assigned	**75-76**	**76-77**	**77-78**	**78-79**	**79-80**
Private Office Space	Main 101	N/C	N/C	N/C	N/C	N/C
	Main 102	N/C	N/C	N/C	N/C	N/C
	Main 103	N/C	Partition into two small offices beginning 76-77; will use student helpers in one office.			
Working Space:	None					
Storage Space:	None					
Reception and Other:	Main 104	N/C	N/C	N/C	N/C	N/C
Total	4	4	5	5	5	5
	Present Usage					
Computer	None	None Expected—				
Telephone	3 phones	N/C	Would like all three lines on Dean's phone and intercom line on all phones.			

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

______________________ COLLEGE

ACADEMIC PROGRAM–PHYSICAL FACILITIES REQUIREMENTS SUMMARY

DEPARTMENT	SEMINAR		CLASSROOMS				LECTURE HALLS				LABORATORIES						DEPARTMENTAL LIBRARY SPACE		ADDITIONAL SPACE					
	5-15 STATIONS		16-30 STATIONS		31-50 STATIONS		51-100 STATIONS		Over 100 STATIONS		1-10 STATIONS		11-20 STATIONS		Over 20 STATIONS				CONFERENCE ROOMS		STORAGE SPACE		OTHER	
	NO.	HRS.	NO.	HRS.	NO.	HRS.	NO.	HRS.	NO.	HRS.	NO.	HRS.	NO.	HRS.	NO.	HRS.	NO.	SQ. FT.	NO.	SQ. FT.	NO.	SQ. FT.	NO.	SQ. FT.
Name of Department																								
Year 1																								
Year 2																								
Year 3																								
Year 4																								
Year 5																								
Name of Department																								
Year 1																								
Year 2																								
Year 3																								
Year 4																								
Year 5																								
Name of Department																								
Year 1																								
Year 2																								
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Name of Department																								
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Year 2																								
Year 3																								
Year 4																								
Year 5																								
Name of Department																								
Year 1																								
Year 2																								
Year 3																								
Year 4																								
Year 5																								
Total																								
Year 1																								
Year 2																								
Year 3																								
Year 4																								
Year 5																								

NOTE: The data used are to be an average of the terms comprising the year for which data are presented.

FORM NO 112

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

______________________________ COLLEGE

ACADEMIC PROGRAM PHYSICAL FACILITIES REQUIREMENTS

For Five Year Period Beginning ______________

Department ______________

INSTRUCTION AND RESEARCH SPACE	PRESENT SPACE		19__-19__		19__-19__		19__-19__		19__-19__		19__-19__	
	Number	Hours	Number	Hours	Number	Hours	Number	Hours	Number	Hours	Number	Hours
A. Seminar rooms:										
1. 5–15 student stations										
B. Classrooms:										
1. 16–30 student stations										
2. 31–50 student stations										
C. Lecture halls:										
1. 51–100 student stations										
2. Over 100 student stations										
D. Laboratories:										
1. 1–10 student stations (research)										
2. 11–20 student stations										
3. Over 20 student stations										
OTHER SPACE	Number	Sq. Ft.	Number	Sq. Ft.	Number	Sq. Ft.	Number	Sq. Ft.	Number	Sq. Ft.	Number	Sq.Ft.
E. Offices										
F. Department library										
G. Additional:										
1. Conference rooms										
2. Storage space										
3. Other										

FORM NO 108

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

____________________ COLLEGE

SUPPORT SERVICES

PHYSICAL FACILITIES AND OTHER RESOURCE REQUIREMENTS

For Five Year Period Beginning ____________________

DEPARTMENT ____________________

ITEM	PRESENT SPACE ASSIGNED	19__-19__	19__-19__	19__-19__	19__-19__	19__-19__
1. **PRIVATE OFFICE SPACE** (List detail of changes – i. e. reduction, addition, rehabilitation, etc.)						
2. **WORKING SPACE** (List detail of changes)						
3. **STORAGE SPACE** (List detail of changes)						
4. **RECEPTION AND OTHER** (List detail of changes)						
TOTAL						

ITEM	PRESENT USAGE					
1. **COMPUTER** (Describe units)						

FORM NO. 118

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

________________________________COLLEGE

SUPPORT SERVICES SUMMARY

PHYSICAL FACILITIES REQUIREMENTS

For Five Year Period Beginning______________________

DEPARTMENT AND DESCRIPTION	SPACE REQUIREMENTS					COMMENTS AS TO SPECIAL NATURE OF FACILITIES REQUIRED
	19__-19__	19__-19__	19__-19__	19__-19__	19__-19__	
Name of Department						
Private office space						
Work space						
Storage space						
Reception and other space						
Total space						
Totals						
Private Office Space						
Work space						
Storage space						
Reception and other space						
Total space						

FORM NO. 119

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

D. EXAMPLE OF PHYSICAL DEVELOPMENT PLAN — BUILDING PORTION SUMMARY

TOTAL SPACE ADDITIONS OR REDUCTIONS FROM CONSTRUCTION ACTIVITY

Line Code	Item	Past Year (PY)	Current Year (CY)	Budget Year (BY)	BY + 1	. . .	Target Year (TY)
						. . .	
	GROSS SQUARE FEET						
1	Space Additions, Total						
2	New buildings						
3	Additions to existing buildings						
4	Remodeling or rehabilitations						
5	Space Reductions, Total						
6	Razed buildings						
7	Remodeling or rehabilitation						
8	Net Space Additions or Reductions						
	NET ASSIGNABLE SQUARE FEET						
9	Space Additions, Total						
10	New buildings						
11	Additions to existing buildings						
12	Remodeling or rehabilitations						
13	Space Reductions, Total						
14	Razed buildings						
15	Remodeling or rehabilitation						
16	Net Space Additions or Reductions						
17	Gross Square Feet in Operation						
18	Net Assignable Square Feet in Operation						

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 70.

External Information

The third project of the institutional studies is an assessment of the external information available to support the planning process. As discussed in the *Handbook* (pp. 18, 38-39), external information is important for identifying those factors affecting the institution directly and for determining what changes and trends may affect the institution in the future. A sampling of these factors might include:

- Local, state, or national trends in financing postsecondary education
- Student characteristics for the next 5 to 10 years
- Enrollment trends
- Employment and career opportunities
- Major educational patterns
- Labor trends
- Social priorities
- Physical environment

The tendency is often to collect information that is "nice to have" without carefully deciding there is a "need to have." Each institution should carefully review its own planning needs and decisionmaking requirements before determining what data are needed.

Because of the wealth of information available, this section includes only a sampling of the types of sources available. First is a listing of the publications available from the National Center for Education Statistics covering the subject areas of general statistics, postsecondary education, and national longitudinal studies. Next is a general discussion on published materials excerpted from *Trends 2000 Information for Planning: A Handbook for Academic Administrators;* also included is a summary of published reports and mechanized information for the 1970 census available from the Bureau of Census, as excerpted from *Postsecondary-Education Information Planning at the State Level: Selection of Data to Address Planning Issues.* And finally, portions of *Community Information in Education* are reproduced as a further guide to available sources of external information.

Excerpts from the following sources have been used in assembling the materials for this section:

Association of American Colleges. *Trends 2000 Information for Planning: A Handbook for Academic Administrators.* Washington, D.C.: Association of American Colleges, 1978.

Cloud, Sherrill. *Postsecondary-Education Information Planning at the State Level: Selection of Data to Address Planning Issues.* Boulder, Colo.: National Center for Higher Education Management Systems, 1979.

National Center for Education Statistics. *Community Information in Education.* Washington, D.C.: forthcoming.

Step 2—Context for Planning Institutional Studies

Materials Included in This Section

Project 3—External Information

PAGE	TITLE
279	National Center for Education Statistics—Publications Available
283	Introduction to Sources
287	Bureau of the Census Published Reports and Mechanized Information for the 1970 Census
291	Sources for Census Data on Population

NATIONAL CENTER FOR EDUCATION STATISTICS

PUBLICATIONS AVAILABLE

GENERAL STATISTICS

NCES 78-405. The Condition of Education, 1978, Vol. IV, Pt. 1
s/n 017-080-01822-5

NCES 78-402. Digest of Education Statistics, 1977-78
s/n 017-080-01872-1 $4.00

NCES 77-402. Projections of Education Statistics to 1985-86
s/n 017-080-01706-7 $3.00

NCES 77-403. Statistical Trends in Education, 1965-66 thru 1985-86
FREE

POSTSECONDARY EDUCATION

NCES May 1978. Fall Enrollment in Higher Education - 1977 Final Count
FREE

NCES 78-310. Opening Fall Enrollment in Higher Education, 1976 Final Report
s/n 017-080-01907-8 $4.25

NCES 77-342. Fall Enrollment in Higher Education 1975
s/n 017-080-01859-4 $3.75

NCES 77-332. Students Enrolled for Advanced Degrees, Fall 1975 (Sum. Data)
s/n 017-080-01727-0 $2.30

NCES 78-321. Upper Division Enrollment by Degree Field, Fall 1975 (X)
s/n 017-080-01751-2 $2.30

NCES 78-3000. Earned Degrees Conferred, 1975-76 (Summary)
s/n 017-080-01868-3

NCES 77-329. Earned Degrees Conferred: Analysis of Trends, 1965-66 through 1974-75
s/n 017-080-01717-2 $1.20

NCES 78-343. Associate Degrees and Other Formal Awards Below the Baccalaureate: Analysis of 6-Year Trends (1971 to 1976)
s/n 017-080-01848-0

NCES 77-327. Associate Degrees and Other Formal Awards Below the Baccalaureate: 1974-75 (Sum.)
s/n 017-080-01704-1 $2.00

NCES 78-336B. Bachelor's Degree Awards to Women (1971-1976)
FREE

NCES 77-333. Analysis of Doctor's Degrees Awarded to Men and to Women, 1970-71 through 1974-75
s/n 017-080-01707-5 $2.10

NCES 78-316. Selected Statistics on Salaries and Tenure of Full-Time Instructional Faculty, 1977-78 (Early Release)
FREE

NCES 77-318. Salaries, Tenure and Fringe Benefits of Full-Time Instructional Faculty in Institutions of Higher Education 1975-76
s/n 017-080-01694-0 $2.40

NCES 78-321. Financial Statistics of Colleges and Universities, 1977; Preliminary Tabulations (Early Release)
FREE

NCES 78-319. Financial Statistics of Institutions of Higher Education: FY 1976 (State Data)
s/n 017-080-01826-8 $4.50

NCES 77-307. Financial Statistics of Institutions of Higher Education: Current Funds Revenues and Expenditures FY 1975 (State Data)
s/n 017-080-01748-2 $3.00

NCES 77-301. Financial Statistics of Institutions of Higher Education: Property, FY 1975 (State Data)
s/n 017-080-01801-2 $2.75

NCES 78-344. Noncredit Activities in Institutions of Higher Education for the Year Ending June 30, 1976
s/n 017-080-01841-1

NATIONAL LONGITUDINAL STUDY

NCES 77-250. Transfer Students in Institutions of Higher Education
s/n 017-080-01802-1 $2.20

NCES 77-264. Withdrawal from Institutions of Higher Education
s/n 017-080-01803-9 $3.75

NCES 77-265. NLS High School Class of 1972: A Capsule Description of 2nd Follow-Up Survey Data
s/n 017-080-01677-0 $ .85

NCES 77-266. Attrition from College: The Class of 1972 Two and One-Half Years After High School Graduation
FREE

NCES 77-252. Distribution and Packaging of Student Financial Aid: Some Evidence from the Survey of the High School Class of 1972
FREE

NCES 77-145. Education Directory, Public School Systems
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INTRODUCTION TO SOURCES

The present Handbook explores ways in which readily available published data can be used for institutional planning. There is sufficient current data relevant to short and long range planning to make unnecessary for general purposes a resort to electronic data banks. Access to these banks is often time consuming and utilization requires specialized knowledge of the organization of data. Published sources, on the other hand, while not allowing specialized studies, can provide a wide range of data which is easily accessed and inexpensive.

The single most useful source for institutional planning via community needs assessment is the Bureau of the Census. Decennial censuses and the reports of the quarterly Current Population Survey constitute the most valuable resource. Publications which should be on every institutional planner's bookshelf are:

U.S. Bureau of the Census. Census of Population: 1970. General Social and Economic Characteristics. PC(1)-C Series.

U.S. Bureau of the Census. Census of Population: 1970. General Population Characteristics. PC(1)-B Series.

U.S. Bureau of the Census. County Business Patterns, 1976.

The first two publications are compiled by total U.S. and by State. Within each state volume the data is aggregated in a number of ways: by urban/rural, by metropolitan/suburban, and by county. County Business Patterns is a summary of employment for each state by industrial classification.

At the present time, many states in the 1970 Census are out of print. Orders should be placed early for the 1980 Census. County Business Patterns is published every year; the current year is 1976.

Yearly publications of the Current Population Survey which are

Source: Association of American Colleges, Trends 2000 Information for Planning: A Handbook for Academic Administrators (Washington, D.C.: Association of American Colleges, 1978), no page numbers.

especially useful to the institutional planner are:

U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 314, "Educational Attainment in the United States: March 1977 and 1976."

----Series P-20, No. 319, "School Enrollment - Social and Economic Characteristics of Students: October 1976."

----Series P-25, No. 704, "Projections of the Population of the United States: 1977 to 2050."

----Series P-20, No. 320, "Geographical Mobility: March 1975 - March 1977."

These reports are nearly always available for current year (note that generally there is a two year lag). Except for the migration study the data are primarily national with little or no state information. These and all other Census Bureau publications are available from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

The Current Population Survey also publishes special and occasional reports of great usefulness. Some of these center on minority populations:

U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 317, "Persons of Spanish Origin in the United States: March 1977.

Other minority studies are special subject reports of the Decennial Census:

U.S. Bureau of the Census. Census of Population 1970. Subject Reports PC(2)-1F. American Indians.

In addition to social, ethnic, and economic data found in Census Bureau reports, the Department of Labor and private research organizations publish much useful data.

An overview of available labor force and economic indicator data is published monthly:

Monthly Labor Review: U.S. Department of Labor; Bureau of Labor Statistics

In addition to articles which are often germaine to education and work issues the MLR publishes tables on current employment, prices, and earnings. A subscription is available through the Superintendent of Documents.

Three recent studies on tuition-aid programs in industry provide useful data on which sectors of the economy are participating in such programs and what participation rates are:

American Telephone and Telegraph Company. Corporate Tuition-Aid Plans, 1977. 295 North Maple Avenue, Basking Ridge, N.J. 07920.

The Conference Board. Education in Industry. 845 Third Avenue, New York, N.Y. 10022.

National Manpower Institute. An Untapped Resource: Negotiated Tuition Aid in the Private Sector. 1211 Connecticut Avenue, Washington, D.C. 20036.

The single most useful analysis by county and metropolitan area of economic data is:

Sales Marketing and Management Magazine. The Survey of Buying Power Data Service.

The Data Service is updated every year and contains local data on basic demographic and marketing data (purchasing power and retail sales). It is available from Sales Builders Division, Sales and Marketing Management Magazine, 633 Third Avenue, New York, N.Y. 10017.

Data on the demographic characteristics of students can be most easily extracted from three annual publications:

American Council on Education. A Fact Book on Higher Education.

U.S. D.H.E.W., National Center for Educational Statistics, Digest of Educational Statistics 1977-78.

----The Condition of Education 1978 Edition.

The Factbook is available from the Council and the NCES publications from the Superintendent of Documents.

The sources above are among the most easily accessible national compilations. Much of what is useful to the institutional planner, however, will be gathered at the state, county, or local levels. To assist in the identification of such data gathering agencies the following publication is useful:

> U.S. Bureau of the Census, *Current Population Reports*, Series P-25, No. 723, "State and Local Agencies Preparing Population Estimates and Projections: Survey of 1975-76."

Those agencies gathering and publishing data are, of course, much more numerous than those engaged in projection. State and county (metropolitan) planning boards and councils are often primarily interested in community needs assessment. Local Chambers of Commerce are sources of business and industry information, especially as to moves of industry in and out of the area. States and local areas vary greatly, however, in the amount of data gathering conducted. Every institutional planner must do his own local homework on this. With such locally generated data and nationally compiled information an inexpensive and accessible data base on which to plan effectively is constructed.

Bureau of the Census Published Reports and Mechanized Information
For the 1970 Census

The major source of available published data on population is the U.S. Department of Commerce, Bureau of the Census. The Bureau has conducted a census every ten years. Beginning in 1980, the Census will be taken every five years. Based on the decennial data collection efforts, the Bureau of the Census publishes the following series of printed reports:

Population Census Reports

Series PC(1) or VOLUME 1. CHARACTERISTICS OF THE POPULATION. This volume consists of 58 "parts"--number 1 for the United States, numbers 2 through 52 for the 50 states and the District of Columbia in alphabetical order, and numbers 53 through 58 for Puerto Rico, Guam, Virgin Islands, American Samoa, Canal Zone, and Trust Territory of the Pacific Islands, respectively. Each part, which is a separate clothbound book, contains four chapters designated as A, B, C, and D. Each chapter (for each of the 58 areas) was first issued as an individual paperbound report in four series designated as PC(1)-A, B, C, and D respectively. The 58 PC(1)-A reports were specially assembled and issudd in a clothbound book, designated as Part A.

PC(1)-A NUMBER OF INHABITANTS. Final official population counts are presented for states, counties by urban and rural residence, standard metropolitan statistical areas (SMSA's), urbanized areas, county subdivisions, all incorporated places, and unincorporated places of 1,000 inhabitants or more.

PC(1)-B GENERAL POPULATION CHARACTERISTICS. Statistics on age, sex, race, marital status, and relationship to head of household are presented for states, counties by urban and rural residence, SMSA's, urbanized areas, county subdivisions, and places of 1,000 inhabitants or more.

PC(1)-C GENERAL SOCIAL AND ECONOMIC CHARACTERISTICS. Statistics are presented on nativity and parent age, state or county of birth, Spanish origin, native language, residence five years ago, year moved into present house, school enrollment (public or private), years of school completed, vocational training, number of children born, family composition, disability, veteran status, employment status, place of work, means of transportation to work, occupation group, industry group, class of worker, and income (by type) in 1969 of families and individuals. Each subject is shown for some or all of the following areas: states, counties (by urban, rural-nonfarm residence), SMSA's, urbanized areas, and places of 2,500 inhabitants or more.

Source: Sherrill Cloud, Postsecondary-Education Information Planning at the State Level: Selection of Data to Address Planning Issues (Boulder, Colo.: NCHEMS, 1978), pp. 4.7-4.10.

PC(1)-D DETAILED CHARACTERISTICS. These reports cover most of the subjects included in Series PC(1)-C, presenting the data in considerable detail and cross-classified by age, race, and other characteristics. Each sucject is shown for some or all of the following areas: states (by urban, rural-nonfarm, and rural-farm residence), SMSA's, and large cities.

Series PC(2) or VOLUME II. SUBJECT REPORTS. Each report in this series or volume concentrates on a particular subject. Detailed information and cross-relationships are generally provided on a national and regional level; in some reports, data for states or SMSA's are shown. The characteristics covered include national origin and race, fertility, families, marital status, migration, education, unemployment, occupation, industry, and income.

Housing Census Reports[a]

Series HC(1) or VOLUME I. HOUSING CHARACTERISTICS FOR STATES, CITIES, AND COUNTIES

HC(1)-A GENERAL HOUSING CHARACTERISTICS

HC(1)-B DETAILED HOUSING CHARACTERISTICS

Series HC(2) or VOLUME II. METROPOLITAN HOUSING CHARACTERISTICS

Series HC(3) or VOLUME III. BLOCK STATISTICS

VOLUME IV. COMPONENTS OF INVENTORY CHANGE

VOLUME V. RESIDENTIAL FINANCE

VOLUME VI. ESTIMATES OF "SUBSTANDARD" HOUSING

VOLUME VII. SUBJECT REPORTS.

Joint Population-Housing Reports

Series PHC(1) CENSUS TRACT REPORTS. This series contains one report for each SMSA, showing data for most of the population and housing subjects included in the 1970 census.

Series PHC(2) GENERAL DEMOGRAPHIC TRENDS FOR METROPOLITAN AREAS, 1960 to 1970. This series consists of one report for each state and the District of Columbia, as well as a national summary report, presenting statistics for the state and for SMSA's and their central cities and constituent counties. Comparative 1960 and 1970 data are shown on population counts by age and race and on such housing subjects as tenure, plumbing facilities, value, and contract rent.

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[a] Only the titles of these volumes are noted here.

Mechanized 1970 Population Information

The major portion of the results of the 1970 census are produced in a set of six tabulation counts. To help meet the needs of census users, these counts were designed to provide data with much greater subject and geographic detail than it is feasible or desirable to publish in printed reports. The data so tabulated are generally available--subject to suppression of certain detail where necessary to protect confidentiality--on magnetic computer tape, printouts, and microfilm, at the cost of preparing the copy.

First Count: Source of the PC(1)-A reports; contains about 400 cells of data on the subjects covered in PC(1)-B and HC(1)-A reports and tabulated for each of the approximately 250,000 enumeration districts in the United States.

Second Count: Source of the PC(1)-B, HC(1)-A, and part of the PHC(1) reports; contains about 3,500 cells of data covering the subjects in these reports and tabulated for the approximately 35,000 tracts and 35,000 county divisions in the United States.

Third Count: Source of the HC(3) reports; contains about 250 cells of data on the subjects covered in the PC(1)-B and HC(1)-A reports and tabulated for approximately 1,500,000 blocks in the United States.

Fourth Count: Source of the PC(1)-C, HC(1)-B, and part of the PHC(1) reports; contains about 13,000 cells of data covering the subjects in these reports and tabulated for the approximately 35,000 tracts and 35,000 county subdivisions in the United States; also contains about 30,000 cells of data for each county.

Fifth Count: Contains approximately 800 cells of population and housing data for five-digit zip-code areas in SMSA's and three-digit zip-code areas outside SMSA's; the sip-code data are available only on tape.

Sixth Count: Source of the PC(1)-D and HC(2) reports; contains about 260,000 cells of data covering the subjects in these reports and tabulated for states, SMSA's, and large cities.

The tapes are generally organized on a state basis. To use the First Count and Third Count tapes, it is necessary to purchase the appropriate enumeration district and block maps.

The term "cells," used here to indicate the scope of subject content of the several counts, refers to each figure of statistic in the tabulation for a specific geographic area. For example, in the Third Count, there are six cells for a cross-classification of race by sex: three categories of race (white, Negro, other race) by two categories of sex (male, female). In addition to the above-mentioned summary tapes, the Census Bureau has available for purchase certain sample tape files containing population and housing characteristics as shown on individual census records. These files contain no names or addresses, and the geographic identification is sufficiently broad to protect confidentiality. There are six files, each containing a

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one percent national sample of persons and housing units. Three of the files are drawn from the population covered by the census 15 percent sample and three from the population in the census 5 percent sample. Each of these three individual large SMSA's and, for the rest of the country, groups of counties; the second identifies individual states and, where they are sufficiently large, provides urban-rural and metropolitan/nonmetropolitan detail; and the third identifies state groups and size of place, with each individual record showing selected characteristics of the person's neighborhood.

Current Population Survey Reports

The Bureau of the Census also conducts a monthly Current Population Survey that is usually a large sample survey dealing with some specific subject such as reasons for moving, school enrollment, voter characteristics, or educational attainment. The following list is an example of some of the reports that are available:

Series P-20	Population Characteristics
Series P-23	Special Studies
Series P-25	Population Estimates and Projections Generated by the Bureau of Census - Revenue Sharing Estimates Program (P-25) Population, 1970 and 1973, and Related Per Capita Income (PCI) for Revenue Sharing Areas
Series P-26	Current Population Reports - Federal State Cooperative Program (P-26/25) County Estimates Every Year

Catalog of Bureau of the Census Publications

A catalog of Bureau of the Census publications, issued quarterly, is available from the Government Printing Office.

County and City Data Book

This volume is periodically produced as a supplement to the Statistical Abstract, and contains summary data from a wide variety of sources, including the Census and Current Population Reports. This is an excellent source of population and economic data for counties, SMSA's, and cities.

Sources for Census Data on Population

	County		City			Census Tract
Title	Series PC (1) —A —B —C	County & City Data Book, Table 2	Series PC (1)-A, —B, —C		County & City Data Book, Table 6	Series PHC (1)
			Data For Places 10-50,000	Data For Cities 50,000 or more		
Total Population	—A, Table 24.	Column 3	28	—A, Table 6	Column 201	Table P-1
Age-Sex-Specific Population	—B, Table 35.	-NA-	28	—B, Table 24	-NA-	Table P-1
Median Age	—B, Table 35.	Column 15	28	—B, Table 24	Column 313	Compute from Table P-1
Land Area	—A, Table 2	Column 1	-NA-	-NA-	Column 301	-NA-
White Population	—B, Table 35	Column 9	28	—B, Table 24	Column 307	Table P-1
Foreign Born Population	—C, Table 119	-NA-	102	—C, Table 81	-NA-	Table P-2
Median Family Income	—C, Table 124	Column 58	107	—C, Table 89	Column 361	Table P-4
Families With Income	—C, Table 124	Column 52-57	107	—C, Table 89	354-360	Table P-4
Families With Income Over $12,000	—C, Table 124	55 + 56 + 57	107	—C, Table 89	358 + 359 + 360	Table P-4
Families With Income Under $3,000	—C, Table 124	Column 52	107	—C, Table 89	Column 354	Table P-4
Median Highest Grade of School Completed	—C, Table 120 (by sex only)	Column 24	103	—C, 83 (by sex only)	Column 323	Table P-2
Total School Enrollment	—C, Table 120	Column 28 + 29	103	—C, Table 83	Column 328 + 329	Table P-2
College Graduates	—C, Table 120	Column 27	103	—C, Table 83	Column 326	Table P-2
School Enrollment Grades K-8	—C, Table 120	Column 28	103	—C, Table 83	Column 328	Table P-2
School Enrollment Grades 9-12	—C, Table 120	Column 29	103	—C, Table 83	Column 329	Table P-2
Population Completing Less Than 5th Grade	—C, Table 120	Column 25	103	—C, Table 83	Column 324	Table P-2
Public Enrollment Grades K-8	—C, Table 120	-NA-	103	—C, Table 83	-NA-	Table P-2
Public Enrollment Grades 9-12	—C, Table 120	-NA-	103	—C, Table 83	-NA-	Table P-2
Adult Education Enrollment	-NA-	-NA-	-NA-	-NA-	-NA-	Table P-2

Titles of Tables from Series PC(1)

-A, Table 24.	Population of counties: 1970 and 1960.
-A, Table 6.	Population of all incorporated places and of unincorporated places of 1,000 or more: 1960 to 1970.
-B, Table 20.	Age by race and sex, for areas and places: 1970.
-B, Table 35.	Age by race and sex, for counties: 1970
-C, Table 81.	Ethnic characteristics for areas and places: 1970.
-C, Table 83.	Educational characteristics for areas and places: 1970.
-C, Table 89.	Income in 1960 of families, unrelated individuals and persons for areas and places: 1970.
-C, Table 119.	Social characteristics for counties: 1970.
-C, Table 120.	Educational and family characteristics for counties: 1970.
-C, Table 124.	Income and poverty status in 1969 for counties: 1970.

Source: National Center for Education Statistics [NCES], Community Information in Education (Washington, D.C.: NCES, forthcoming), pp. 94-101.

ECONOMY

The data needs for studying the economy are diverse. Data needs focus on 1) the structure of the community economy (especially in terms of its component parts, the industrial groups), 2) the economic characteristics and effects of local government and the local revenue base for schools, and 3) the economic characteristics of the population. In each case, data from two sources are desirable: census reports and public records, which are discussed in this chapter, and direct collection of data through questionnaires and interviews. Suggestions for collecting data directly are covered in Chapter 5.

A major problem in analyzing a community economy is the fact that communities are usually part of some larger functional economic area or region, and the economic forces and patterns operating in this larger area will strongly influence the economic present and future of the individual community. Also, since economic activities involve a flow of money, goods, and people, and must be measured as either taking place within the area or extending into other areas, many of the dynamic features of the community economy require a precise functional delimitation of the community. The dynamics of a community's economy are exceedingly complex, and even though precise indicators are selected and developed, a sensitivity for external influences may help in understanding the changing nature of the local economy.

Data Sources of Industrial Groups of the Economy

The greatest problem in studying a community economy is obtaining information for industrial groups. Ideally, it would be obtained from published reports or through a survey, but it is seldom possible to put together all data that are desired. Either the information is literally unavailable for a variety of reasons or the cost of conducting a survey of sufficient size is prohibitive.

The Census of Population and Housing is by far the most complete tabulation of statistical material, but that Census is centered on people, their attributes, their possessions and the character of their residences, rather than on industrial groups in the economy. Furthermore, the Census employment data are based on place of residence, not place of work. Thus there is no specific data source on industry groups with sufficient breadth and depth of coverage. Economic data adapted from the Census of Population are a partial source, but they must be used with a careful translation from place-of-residence data to place-of-work data.

These problems indicate that conducting a community economic study can be highly frustrating. However, in actuality several data sources can provide information for general studies and permit the use of some simple and helpful (if properly used and interpreted) techniques of analysis.

The Bureau of the Census conducts several periodic Censuses (usually every five years) on industrial groups and releases shorter studies of particular subjects pertinent to the economy. The simplest source of basic information is the *County and City Data Book*, 1972 which summarizes the most important information from the detailed sources noted below. The recent major publications of value include the following:

1. *Census of Retail Trade*, 1972 - *Subject Series*.
   Census of Retail Trade, 1972 - *Area Series*.
   Major Retail Centers - *Statistics Series*.
   Census of Retail Trade, 1972 - *Retail Merchandise Line Sales Series*
   Census of Wholesale Trade, 1972 - *Subject Series*
   Census of Wholesale Trade, 1972 - *Area Series*
   Census of Wholesale Trade, 1972 - *Wholesale Commodity Line Sales*

2. *Census of Governments*, 1972 (taken every five years in years ending with two and eight, published in three volumes and series reports)
   Part 1. Taxable and Other Property Values.
   Part 2. Assessment Sales Price Ratios and Tax Rates.

   Volume I: *Governmental Organization*.
   Volume II: *Taxable Property Values and Assessment - Sales Price Ratios*
   Volume VI: *Topical Studies*.
   Number 1 - *Employees Retirement Systems of State and Local Governments*.
   Number 2 - *State Reports on State and Local Government Finances*.
   Preliminary Number 1: *Government Units in 1972*.
   Preliminary Number 2: *Public School Systems in 1971-1972*.
   Bureau of Census: Governments Publications Series -
   Government Employment;
   Government Finance Series;
   State and Local Government Special Series.

3. Census of Agriculture: (taken every five years in years ending with four and nine), Volume I. Area Reports.

4. Census of Manufacturing: (formerly taken every five years in years ending with three and eight. Beginning in 1967 taken every five years ending with two and seven), published in four series:

   Number 1. - *Industry Series*.
   Number 2. - *Area Series*.
   Number 3. - *Subject Series*.
   Number 4. - *Special Reports Series*

5. Census of Mineral Industries: (formerly taken every five years in years ending with three and eight. Beginning in 1967 taken every five years ending with two and seven),

   Number 1. General Summary
   Number 2. Subject
   Number 3. Area Statistics

6. Census of Transportation provides somewhat fragmentary information on shipper and commodity groups.

Two other useful Census publications are:

1. County Business Patterns.

2. Compendium of City Government Finances in...(yearly 1951-1963, title changed in 1963 to 1963-64, 1964-65, etc.)

Each of the above publications has a variety of limitations, but together they provide the most comprehensive data available. Two particular problems are 1) the dates when census data are obtained, and 2) the disclosure rules which prevent the inclusion of information whenever it might be identified with a particular firm. As an example of the former, some employment data is a result of averaging and some is based on a specific data. Census of Business data are for a work week ending in mid-November, whereas data from some other source may be for a date at the beginning of a month. Such differences must be detected and the data adjusted for some point in time selected for the purposes of the study. Not all data collected by the Bureau of the Census are published. Unpublished data may be obtained at cost from the Bureau upon special request.

Many additional sources of data, information, and interpretation are available. The following listing is suggestive rather than exhaustive:

1. Various publications from the Bureau of Labor Statistics, United States Department of Labor, provide State and area statistics on employment, earnings, unemployment, hours, and labor turnover. In addition, the Bureau has published special volumes of interpretive research for specific purposes. BLS also provides occupation projections by Labor Market Area. Projections are available through 1985.

2. The Internal Revenue Service, United States Treasury, publishes statistics on income for individuals and corporations every other year.

3. One of the best sources for employment by place of work is available at frequent intervals from any State Employment Security Agency. Such data are excellent for the State and SMSA's, and less useful for counties and individual communities. These data cover all industries included by the unemployment compensation laws, and the coverage includes nearly all employed persons except the self-employed and domestics within the urban labor force. In addition, much valuable labor market information is presented in the 20000 Series, beginning on page 56.

4. State directories of manufacturing may be available on an annual basis.

5. The National Planning Association's (NPA) Center for Economic Projects is noted for its State and National statistical studies and compilations and for its interpretive work on the performance of sectors of the economy in the present and as projected into the fairly near future. In recent years the NPA has also moved into metropolitan studies and has published a useful volume of economic and population estimates for selected past years and several volumes of projective studies for SMSA's. Perhaps those NPA publications that deal with the anticipated performance of the economy, industrial groups of the economy, and distributional trends are most useful.

6. Another basic reference work is the exhaustive study, Resources in America's Future. This volume deals at length with all aspects of the economy both for past years and for projection years to 2000. Its value is in the trends expected for all phases of the economy. Such guidelines may usually be adapted to local area studies.

7. Business registers and guides are often available for a metropolitan area or a part of a State. They provide guidance as to the number and location of firms as well as their employment and products, and may serve as a source for the selection of units for sampling.

8. Data on purchasing power and expenditure patterns can be obtained for many kinds of areas from the annual issue of Sales Management (usually the May issue) devoted to a "Survey of Buying Power."

9. Many studies by local planning agencies, FHA housing market studies, contract studies for areas or regions, local government agencies, and others may be able to provide pertinent data.

10. Up-to-date information on general economic trends can be obtained from Survey of Current Business, a monthly journal published by the United States Department of Commerce.

11. The Federal Reserve Banks publish a variety of statistical reports and journals that may be of continuing utility.

Education Plan

Project 2 of step 2 develops an Education Plan that sets the major goals and direction for the institution for the next five or so years. As discussed in the Handbook (pages 18-19), these goals should be developed independently of the actual organizational structure (that is, not tied to specific departments or colleges). The following provides a sampling of areas for which an institution may want to provide goals:

- Liberal and fine arts
- Science and technical studies
- Professional and graduate education
- Health and human services
- Lifelong learning
- Career education
- Academic support
- Student services
- Residential life
- Financial aid
- Admissions
- Administrative services and coordination
- Fund raising and development

The Education Plan should also be tied back to the mission, role, and scope of the institution (see step 1 in this document for further discussion of the mission, role, and scope). In setting the future goals and directions of the institution, the mission, role, and scope should also be referenced so that the Education Plan accurately reflects past mission/role/scope statements.

Excerpts from the following sources have been used in assembling the materials for this section.

Ohic Board of Regents. *Planning/Universities.* Columbus, Ohio: Ohio Board of Regents, 1978.

Ohio University. *Educational Plan.* Athens, Ohio: Ohio University, 1977.

Step 2—Context for Planning
Education Plan

Materials Included in This Section

PAGE	TITLE
303	Plans—Products of the Planning Process
313	Ohio University Educational Plan 1977-1978—Excerpts
327	Willamette University Planning Outline—Excerpts

The Comprehensive Institutional Plan

Although the terminology may differ, the basic concept of developing an education plan as described in the *Handbook* is one that is also discussed in the Ohio Board of Regents document entitled *Planning/Universities.* The following pages have been excerpted from that document as an additional source for developing what that document calls "The Comprehensive Institutional Plan." Included here are an outline, definitions of the four components (foundation plan, educational plan, physical development plan, and financial plan), and supporting information for developing three of the components. Portions of these materials have also been included in that section of step 1 focusing on mission/role/scope.

5. Plans — Products of the Planning Process

This manual is concerned chiefly with the process of planning at universities. The results of such processes include specific plans, some of which are addressed in this chapter. They are all combined under the heading — The Comprehensive Institutional Plan. General descriptions of the kinds of information contained in these plans, as well as listings of the kinds of data pertinent to the problem of developing specific ones, are also included. At least two other specific kinds of plans which directly affect schools result from planning processes. The Ohio Board of Regents Master Plan and inter-institutional cooperation plans are produced in the State of Ohio. Such plans not only result from the process; they also directly influence the Comprehensive Institutional Plan described in the following pages.

The Comprehensive Institutional Plan is outlined below.

A. **Foundation Plan**
   1. Institutional role and mission statement
   2. Institutional goals and objectives
   3. Institution-wide enrollment projection by type and level of student
   4. Faculty and staff needs projections by personnel category
   5. Management Information System
   6. Organizational Structure

B. **Educational Plan**
   1. Academic and related
      a. Departmental instruction including instructional services
      b. Research
         (1) Departmental
         (2) Sponsored
      c. Public Service (including continuing education)
      d. Library services
   2. Supporting Services
      a. Student Financial Aids
      b. Auxiliary Services
      c. Student Services
      d. General Administration

C. **Physical Development Plan**
   1. Development concepts and planning parameters
   2. Land use component

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 69-78.

3. Building component
4. Development capital

D. **Financial Plan**

1. Operating Budget Component (Income and Expenditures)

a. Personnel	short-range
b. Expendable equipment	medium-range
c. Material and operations	long-range

2. Capital Budget Component

a. Facilities	short-range
b. Capital equipment	medium-range long-range

DEFINITIONS OF PLANS AND THEIR SUBCOMPONENTS

The **Comprehensive-Institutional Plan** encompasses the entire institution and has four major components: The Foundation Plan, the Educational Plan, the Physical Development Plan, and the Financial Plan.

The **Foundation Plan,** as one of the four major components of the Comprehensive-Institutional Plan, refers to those items which form the foundation or basis for the remaining three major segments of the Comprehensive-Institutional Plan. Included specifically are the Role and Mission component, Institution-wide Goals and Objectives, Enrollment Plan and the Faculty and Staff Plan. Also included, because of its fundamental role and importance in support of the total, is the Management Information System Plan and an Organizational Plan.

The **Educational Plan** contains in a detailed manner plans which encompass the following aspects of the institution: instruction, research, public service, financial aid, auxiliary services, library services, plant operation and maintenance, and general administration services. It should be related to the program classification structure. This plan is one of the four major components of the Comprehensive-Institutional Plan.

The **Physical Development Plan** is one of four major components of the Comprehensive-Institutional Plan. It consists of development concepts and planning parameters, a land use component, a building component and a development capital component.

The **Financial Plan** is one of four major components of the Comprehensive-Institutional Plan. It consists of the Operating Budget component and the Capital Budget component, which are considered from both short- and long-range aspects.

Subcomponent of Plans

FOUNDATION PLAN

The **Role and Mission Plan** is a statement in broad terms of the purposes of the institution. It describes its control, sources of support and history. Purposes usually include references to instructional, research and public service programs. The plan may indicate the role of the institution in the state plan, as well as its relation to other educational institutions in its geographical area. (Secondary, two-year colleges, senior institutions, public and private schools). It may indicate enrollment goals expressed in terms of number of students and/or fraction of the area population.

The Institution-wide **Goals and Objectives** portion of the Foundation Plan stems immediately from the Role and Mission Plan. Usually addressed are relationships between degree levels and disciplines, research emphasis by type and discipline, and public service emphasis by discipline. It may consider support levels, income/expense targets and gross enrollment targets. It should address the quality, as well as quantity, of its major programs.

The **Faculty and Staff Projections** portion of the foundation plan sets goals and objectives for faculty and staff members on an institution-wide basis. It addresses the quality of its faculty and staff as well. It may set forth compensation levels, including salaries and all fringe benefits. It addresses the relative numbers of faculty and professional staff by rank and tenure. And it addresses work-load standards.

The **Management Information System** portion of the Foundation Plan addresses the data needed to support an ongoing, viable planning process. It sets goals and objectives for data acquisition, interrelationships and responsibility.

The **Organizational Component of the Foundation Plan** includes the identification and grouping of various activities deemed necessary for the attainment of goals and objectives; the assignment to individuals of responsibilities for the conduct of these activities; and the definition of the relative authority delegated each individual who is charged with the performance of each activity.

EDUCATIONAL PLAN

The **Instructional Program** portion indicates all degree and continuing education programs offered or planned by the institution and identified by program management level. It describes the programs in the broad categories of general studies, technical, baccalaureate, masters, doctoral, medical and graduate professional. For each program there are goals and objectives with a definite curriculum or set of requirements which fulfills and accomplishes the desired objectives. This portion of the Educational Plan also contains a plan of action for programs which are to be eliminated or phased out. It includes for each program its location and management in the institution and an indication of future implementation dates if such a program does not currently exist. The technology of instruction is also described.

Also addressed are instructional support categories such as media centers, Computer Assisted Instruction (CAI) and clinical support facilities.

The **Research Program** portion of the Educational Plan states research goals and objectives, classified by discipline and organization, and describes the research programs and activities. It relates these programs to the instructional programs when applicable. Addressed also are support levels by source.

The **Public Service Program** portion of the Educational Plan states public service goals and objectives, classified by discipline and organization, and describes the public service programs and activities. It relates these programs and activities to the instructional programs when applicable. Topics often addressed are adult and continuing education, workshops and seminars, and preparatory and developmental instruction. Specific population groups are often addressed, such as public employees, non-high school graduates, senior citizens, etc.

The **Library Services Program** portion of the Educational Plan details the goals and objectives set forth for library support of instructional, research, and public service programs. Considered are such items as level of support, quality and quantity of the collections, and the qualification of the professional library staff.

The **Financial Aids Program** of the Educational Plan determine the financial needs of students and outlines the financial aid goals and objectives. The Financial Aids Plan describes the categories of financial assistance to be provided students (scholarships, grants, work/study), the amount and source of financial support, and the total number and kinds of students to be assisted in the various categories. The Financial Aids Plan is an integral component of the Educational Plan.

The **Auxiliary Services Program** portion is an outline of auxiliary service goals and objectives and a description of such services now provided and planned. These normally include food and concessions, bookstores and residence halls.

The **Student Services** portion of the Educational Plan details the goals and objectives set for those programs which are designed to provide non-instructional services to students. Such areas as student personnel affairs, orientation, counseling and testing, student government, VA benefits, etc. are usually included.

The **General Administration Services** segment of the Educational Plan addresses those services and functions normally described as general expense and general (or central) administration. As in other segments of the Educational Plan, goals and objectives are stated which, in particular, deal with the level, scope and quality of services provided to the campus community.

FINANCIAL PLAN

The **Operating Budget Component** of the Financial Plan details how income and expenses will be acquired and utilized to support the Educational Plan. It should cover at least a three biennium period, starting with the current biennium. The first or current year is very detailed. The amount of detail decreases in the latter years of the plan.

The **Capital Budget Component** of the Financial Plan details how income and expenses will be acquired and utilized to support the Physical Development Plan. It, too, covers a three biennium period.

PHYSICAL DEVELOPMENT PLAN

The **Development Concepts and Planning Parameters Component** of the Physical Development Plan explains the underlying bases of physical plans. Development concepts considered are environmental-physical features, quality, natural versus man-made; aesthetic — campus motif and development theme; and functional-activity areas, relationships and centroid. Planning parameters include design standards such as scale, materials, styles and color; density measures like GAC and FAR; and time and distance standards.

The **Land Use Component** of the Physical Development Plan describes building locations, open spaces, circulation and parking.

The **Building Component** of the Physical Development Plan describes in detail plans pertaining to specific buildings. It addresses such plans from the standpoints of preservation/renovation, modification, demolition and new construction.

The **Development Capital Component** of the Physical Development Plan is closely related to the Capital Budget Component of the Financial Plan. Covered are the sources of funds, applications and time schedules.

TYPES OF INFORMATION PERTINENT TO THE PROBLEM OF DEVELOPING THE FOUNDATION PLAN

1. Societal goals and objectives; historical, current, and desired levels of attainment
    a. Years of schooling, by race and sex
    b. Literacy levels
    c. Per capita personal income
    d. Employment rates
    e. Cost of living indices
    f. Proportion of population segments using different services
    g. Manpower demand indices by discipline
    h. Postsecondary education attendance patterns by age, sex, race, etc.
    i. Population — census data

2. Impact of existing education programs relative to objectives, current and historical
    a. Strengths and weaknesses of particular programs and kinds of institution
        (1) Dispersion of benefits
            (a) Geographic
            (b) To socioeconomic groups and sub-populations
            (c) To cultural groups
        (2) Cost effectiveness
        (3) Duplication and overlap
    b. Impact on other programs and activities of the state and local community

3. Institutional aspirations
   a. Academic plans
   b. Priorities
4. Legal constraints and constitutional requirements
5. Relation of instructional programs to societal needs for educated and trained citizens
6. Relation of programs to secondary and elementary education
7. Student demand for programs (historical, current and projected)
   a. Applicants and matriculants
   b. Student expectations
   c. Reactions to existing programs
8. Programatic and departmental interactions
   a. Service relationships (i.e., extent to which departments draw on each other — induced course load matrix)
   b. Interdisciplinary programs and joint appointments
9. Community, state, federal government and agency interests and expectations relating to higher education
10. History and traditions of the University
11. Impact of research, public service and instruction on one another
    a. Costs
       (1) Sharing of faculty — joint appointments
       (2) Overhead
    b. Program offerings
       (1) Positive or negative effects due to joint appointments
       (2) Special research and public service "course" offerings — seminars, etc.
       (3) Joint products from mutually supportive projects
12. Faculty and staff needs and desires
    a. Need to establish and maintain leadership or expertise in field of study
       (1) Requirements for publishing research results
       (2) Requirements for publishing or exhibiting scholarly or artistic work
       (3) Requirements for developing and applying innovative programs and processes in public service programs
       (4) Requirements for classroom instruction
    b. Personal and group preferences
13. Constraints
    a. Limitations of physical facilities — need for sharing
    b. Contract specifications
14. Capacity of Institution to accommodate students
    a. Current patterns of utilization of facilities and staff
       (1) Excess or shortage of facilities
       (2) Alternative use patterns (night, weekend, reorganization of academic periods, etc.)
    b. Resources available for students
       (1) Land

        - (2) Facilities and equipment
        - (3) Faculty and staff
    - c. Time factors—start up lead times and slow down waiting periods
    - d. Scale factors
        - (1) Impact of size on quality of instruction
        - (2) Impact on student-faculty contact
- 15. Capacity of surrounding community to accommodate students
- 16. Impact of financial charges and financial aids to students
- 17. Faculty measures
    - a. Teaching effectiveness
    - b. Research capability
    - c. Salary and compensation levels
    - d. Workload measures

Organizational structure

- A. Goverance
    - 1. Organization charts
    - 2. General government of the university
        - a. Board of Trustees
        - b. Chief administrative officers
- B. Organization of the Academic Staff
    - 1. Colleges, schools, division, departments, etc.
    - 2. Executive officers of the academic staff
- C. Organization of the Non-academic Staff
    - 1. Divisions, depts, etc.
    - 2. Executive officers of the non-academic staff
- D. Consulting and deliberating bodies of the university
    - a. Faculty Senate
    - b. Other councils and committees, e.g., budget advisory committees, space utilization committees, graduate council, administrative council, etc.

TYPES OF INFORMATION PERTINENT TO THE PROBLEM OF DEVELOPING THE EDUCATIONAL PLAN

- 1. Description of the programs
    - a. General
        - (1) Size — enrollments and number of degrees planned
            - (a) Maximum feasible
            - (b) Minimum feasible
        - (2) Features not provided by other programs
        - (3) Start up and shut down times
    - b. Costs
        - (1) Resources required, total and from particular fundors — faculty, staff, facilities, instructional aides, etc.
        - (2) Cost of the resources — total and per outcome indicators
        - (3) Scale economics — cost differentials related to size of program

(4) Start up and shut down costs
c. Outcomes and impacts
(1) Student growth and development
(a) Knowledge and skills development
(b) Social development
(c) Personal development
(d) Career development
(2) Development of new knowledge and art forms
(a) Discovery
(b) Interpretation and application
(c) Reorganization
(3) Community development and service
(a) Community development
(b) Community service
(c) Longer term community effects
(4) Relation to state/regional goals and objectives
d. Links with other programs — service relations
e. Quality of program

2. Relation of programs to society
a. Student demand for program
(1) Current and historical enrollments and numbers of students refused admission
(2) Estimated future demands
(3) Alternative programs in which those not accepted might enroll
b. Labor market prospects — state and national
(1) Current and future supply of manpower
(a) Carryover from prior years — death and other attrition are key factors
(2) Current and future demand for manpower
(a) Existing industries and organizations
(b) New technologies
(3) Migration patterns — interstate and intrastate
(4) Job market prospects
(a) Unemployment rates
(b) Starting salaries
(5) Plans of other programs and institutions
c. General public support

3. Institutional role and mission
a. Legal requirements
b. Academic master plans and institutional aspirations and priorities

4. Alternatives — costs, advantages and disadvantages
a. Alternative programs
b. New delivery systems and technologies

5. Possible constraints
    a. Total resources available
    b. Faculty and staff commitments including tenure
    c. Short supply of needed faculty and staff
    d. Facilities and equipment, etc.
    e. Construction lead times and delays
    f. Prior projections
    g. Need to move slowly enough to maintain support of faculty and staff
6. Developmental instruction parameters
    a. Number and kind of students involved
    b. Resources required — faculty, staff, equipment, counselors, financial aids, etc.
    c. Relationship to other programs
    d. Sources of support — government, foundations, donors, etc.
7. Additional parameters especially useful to Financial Aids Program
    a. Types and kinds of financial aides
    b. Relationship to programs
    c. Sources of support
    d. Organization for handling
    e. Student employment
    f. Attendance expenses
8. Additional parameters especially useful to Auxiliary Services Program
    a. Range of auxiliaries — bookstore, food, housing, etc.
    b. Number and kind of students affected
    c. Income/expense levels
    d. Policies
    e. Relationship to instructional programs
9. Additional parameters especially useful to Library Services Program
    a. Scope of collections and services
    b. Standards
    c. Organization
    d. Relationship to instructional and research program
    e. Space
10. Additional parameters especially useful to Student Services, Plant Operation and Maintenance Services, and General Administration Services program plan
    a. Scope of services
    b. Philosophy of services
    c. Standards
    d. Expense data
    e. Relationship to instructional, research and public service programs

TYPES OF INFORMATION PERTINENT TO THE PROBLEM OF DEVELOPING THE PHYSICAL DEVELOPMENT PLAN

1. Land Inventory
    - a. Topo maps
    - b. Land-use maps
    - c. Land ownership and value data
    - d. Development density data
    - e. Physical features descriptions
    - f. Utility lines (route maps and capacities)
    - g. Development restriction (zoning, public easements, etc.)
2. Facilities Inventory
    - a. Building data
    - b. Room data
    - c. Street and road conditions data
    - d. Parking inventory (counts by sub-area)
    - e. Open space inventory (acreage by use)
3. Land Use Needs
    - a. Building sites
    - b. Academic program open space (e.g., research plots, cropland, outdoor assembly area)
    - c. Environmental open space (e.g., natural areas, lawn areas)
    - d. Recreational open space (PE, Intramural areas, athletics)
    - e. Service open space (landfill, motor pool, service courts)
    - f. Circulation road, streets, pedestrian/bike paths, pedestrian plazas)
    - g. Parking (surface, structure, below grade)
4. Facility Needs
    - a. Parking needs by sub-area
    - b. Circulation needs by mileage, type, interface with urban streets, etc.
    - c. Open space development projects by type, description (courts, fields, etc.)

	additions	**new**	**replacement**
1) academic			
2) student services			
3) plant services			
4) recreational			
5) residential			
6) food service			
7) utilities			

Ohio University Educational Plan 1977-1978—Excerpts

The following pages have been excerpted from the *Ohio University Educational Plan 1977-1987* as samples of the types of materials that might be developed as part of an education plan. Included are:

1. Title page and resolution of the Ohio University Board of Trustees
2. Title page—"The Search for Community," a convocation address by President Charles J. Ping
3. Mission Statement for Ohio University
4. The Goals Statements—areas developing goals statements
5. The Goals Statements for liberal and fine-arts education

OHIO UNIVERSITY

EDUCATIONAL PLAN

1977-1987

THE OHIO UNIVERSITY.

300

RESOLUTION
OF THE OHIO UNIVERSITY BOARD OF TRUSTEES

WHEREAS, Ohio University has for over a year been engaged in the development of an educational plan, and

WHEREAS, the *Ohio University Mission Statement*, a central element in that plan, was approved by the Board of Trustees by Resolution 1977—316 on January 15, 1977, and

WHEREAS, The Board of Trustees has had the opportunity to study the document, *Environmental Statements*, which presents major trends affecting higher education during the next decade and provides a context for planning at Ohio University, and

WHEREAS, a description of general goals and directions for Ohio University over the next decade has been prepared after extensive discussion in the University community and published as a *Statement on Goals and Directions for Ohio University*, which the Board of Trustees has had the opportunity to study and evaluate, and

WHEREAS, the President of Ohio University has delivered a *President's Convocation Address* describing major themes to be addressed by Ohio University in the decade ahead, and

WHEREAS, the *Mission Statement*, the *President's Convocation Address* and the *Statement on Goals and Directions for Ohio University* are incorporated into a *University Educational Plan for 1977-1987*,

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the *University Educational Plan for 1977-1987* as a guide for the planning and program development activities of Ohio University.

Adopted October 1, 1977

THE SEARCH FOR COMMUNITY

Convocation Address

Charles J. Ping
President,
Ohio University

September 30, 1977

MISSION STATEMENT
FOR OHIO UNIVERSITY

Ohio University is a public university providing a broad range of educational programs and services. As an academic community, Ohio University holds the intellectual and personal growth of the individual to be a central purpose. Its programs are designed to broaden perspectives, enrich awareness, deepen understanding, establish disciplined habits of thought, prepare for meaningful careers and, thus, to help develop individuals who are informed, responsible, productive citizens.

UNDERGRADUATE EDUCATION

Ohio University offers undergraduate instruction on both the Athens campus and the regional campuses. Undergraduate programs, designed to contribute to intellectual and personal development and career goals of students, emphasize liberal studies.

Undergraduate major programs, preprofessional and professional programs prepare students for employment in a variety of careers and for continued study. Two-year technical and associate degree programs, reflecting employment opportunities as well as the general career interests of students, are taught primarily at the regional campuses.

At the Athens campus instruction is combined with residence life and other extracurricular programs in an effort to create a collegiate experience integrating learning and living.

GRADUATE AND PROFESSIONAL EDUCATION

Ohio University offers graduate and professional education. The primary forms of activity are advanced and specialized courses of study, supervised practical experience and research.

The essential concentration of faculty, material and space resources dictates that the activity associated with graduate and professional education will be centered on the Athens campus. This activity is not limited to that campus; research and instruction are carried out at various locations.

SCHOLARSHIP, RESEARCH AND CREATIVE ACTIVITY

Ohio University is a center for scholarship, research and creative activity involving the creation, testing and dissemination of knowledge, understanding, expression and technique.

As a public university, Ohio University has a particular responsibility to address societal issues and needs through such scholarship, research and creative activity. The scholarly and artistic activity of the faculty enhances the teaching function at all levels of student experience.

EXTENDED COMMUNITY

Ohio University serves an extended community. The public service mission of the University, expressed in such activities as public broadcasting and continuing education programs, reflects the responsibility of the University to serve the ongoing educational needs of the region. The regional campuses perform a critical role in serving this extended community.

The University has state-wide responsibility for an extended university program using independent study through correspondence.

It is the purpose of these extended university programs to serve a diverse range of educational needs, from professional groups requiring continuing courses of study related to the practice of their professions, to individuals desiring occasional or special interest study.

By service to the extended community, Ohio University contributes to cultural and economic development, health care, and to other human services.

THE GOALS STATEMENTS

LIBERAL AND FINE ARTS EDUCATION
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GRADUATE AND PROFESSIONAL EDUCATION
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SCIENCE AND TECHNOLOGY
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LIBERAL AND FINE ARTS EDUCATION

Liberal Studies are the essence of an education. For some the study of the life of the mind and creative spirit will be an end in itself; for others, such studies will be the necessary preparation and foundation for undergraduate and graduate work in more specialized fields. This introduction attempts to define the essential elements of a liberal or general education. It is intended as a preface to the more specific goals which follow.

1. To think clearly and to have the capacity and willingness to make sound, ethical judgments and enlightened choices.
2. To have a command of those symbols which people have used for millennia when they have sought to communicate: words, numbers and images.
3. To have a general understanding of the development of civilization.
4. To experience a liberation from parochialism or provincialism through the experience of a culture or language other than one's own.
5. To understand the basic methods of inquiry which govern the major branches of knowledge: the natural, biological, and social sciences, the humanities, and the fine arts.
6. To have confronted some of the great minds of the past through direct experience of their works.
7. To understand the present in relationship to the past to be able to participate in contemporary society as productive and effective citizens.
8. To develop a literacy of the eye and ear through exposure to the arts in classroom, museum and performance.
9. To have a general knowledge of the culture, history, politics, or religion of a non-Western continent or country to be better prepared to participate in the growing interdependence of the world.
10. To have in-depth knowledge of a particular discipline, area of study, or field of creative expression.
11. To have had an opportunity to apply knowledge to experience.
12. To have some understanding of what Keats meant by Negative Capability. To explain: the end of education is not simply to have learned how to accumulate facts, to solve problems, to perform tasks, to enjoy art, but to have come to know one's self through knowing others. To have struggled towards self-knowledge through the development of a compassionate view of others; to be able to capture the perspective of other individuals or cultures from the past and in the present.

GOAL 1. To identify and support, as the keystone and foundation of the University's central educational mission, those educational experiences which provide our students with the knowledge and skills which are the essence of a solid liberal education.

A liberal education not only sharpens our abilities to read critically, write clearly, and think rationally; it also serves to preserve the culture of the past, to interpret the sensibility of the present, and to place ultimate value on the life of the mind and creative spirit.

The Board of Regents Master Plan begins with a reaffirmation of liberal studies as the necessary foundation for a variety of educational pursuits. John Millett observed, on a recent visit to the campus, that while the Harvard Redbook *(General Education in a Free Society)* was largely ignored by the educational demands of a post-war society, he believed that its message and thrust were essential for those reshaping university education for the last quarter of this century.

Society continues to need and demand specialists and professionals, but such specialists and professionals need the flexibility and vision to meet the changing complexities of the future; a flexibility and vision gained from a study of the liberal disciplines. Students need to be trained to perform certain tasks, but also taught how to think, to respond, and to exercise their imaginations as society increasingly shifts the tasks it requires individuals to perform.

GOAL 2. The faculty should recommend the ways in which the University's general education curriculum can be reformed to provide students with a more rational, integrated, and meaningful exposure to the liberal disciplines and the fine arts.

Two richly debated assumptions underlie the thinking about the goals and purposes of general education: 1) that there is a definable core of knowledge which is basic and essential to what it means to be liberally educated and 2) that the organization of universities into individual departments often militates against the integration of knowledge central to the achievement of such a liberal education.

Under our present system of very broad distribution requirements, a student may shop quite randomly amongst course offerings without, or only rarely, having the opportunity to see how our various specialties or fields of inquiry merge or diverge from one another.

Is it legitimate to place the entire burden of the integration of knowledge on the student? How can students be helped to organize their educational experience so that it has coherence and meaning: George Steiner has written recently that "Culture is the ordering of perception." How do the various disciplines order perception? How can students be aided in a deeper understanding of how knowledge shapes experience? Various divisions of disciplines (the social sciences, humanities, etc.) which contribute to Liberal Studies might consider a variety of approaches to providing the student with an integrated exposure to essential content and basic methodology. Some might create core courses based upon such broad topics as The Nature of Man, Great Civilizations, The Principles of Scientific and Aesthetic Investigation, Ethics and Values, etc. Others might wish to establish a sequence of Great Books courses which would focus on the works of the great authors and artists instrumental in creating the major contributions to knowledge and culture. Still others might determine that to proscribe a sequence of courses currently taken on a very random basis would accomplish the desired end of offering students an appropriate exposure to their values and methodologies.

It should be strongly noted that courses in liberal or general education should not be confined to a student's first two years at the university. Certain courses will speak more effectively to students who have already determined their major area or field of concentration. The nature of the Weighted Student Credit Hour might well undermine any genuine attempt to reform general education if that formula was applied rigorously to the staffing demands of such courses. If the university determines that a strong program in Liberal Studies is essential, then it must be supported by the faculty's and administration's appropriate intellectual and financial resources.

Such suggestions about the reform of Liberal Studies are not meant to be exclusive; the specifics of the reshaping of the curriculum are best left up to the faculty working through its appropriate committees. A curriculum does not exist in the abstract. It comes to life only through the interaction of a committed and vital faculty and a spirited and eager group of students. Curricular changes which are not generated and supported by the faculty will not succeed.

GOAL 3. Greater integration within and between the curricula of liberal and creative studies and the professional schools should be accomplished. The deans should be charged with establishing the devices and mechanisms, perhaps by inter-college committees and task forces, by which the faculty can identify the specific objectives, and the procedures which would accomplish, the aims of curricular integration.

As humanists, for example, need a great understanding of technology or economics, so engineers or physicians need to see how their professions are intimately related to cultural traditions, environmental conditions, and social aspirations.

Members of the faculty need to exercise their imaginations to see how various programs can be improved by drawing upon the contributions of other disciplines. The recent demand by students of medicine for courses in medical ethics is one prominent example of the kind of interchange possible between the liberal disciplines and the professional schools. Greater foresight and cooperation could be exercised in scheduling so that students could have the opportunity, for example, to take courses in Shakespeare, Tudor History, Personality Theory, and The Art of the Italian Renaissance in the same quarter.

Another suggestion would be to offer a series of senior seminars organized around such broad topics as Culture and Technology, Science and Religion, Art and Communication, Industry and Education, etc., which would allow students from a variety of colleges and disciplines to integrate and apply to knowledge and skills of their individual areas of concentration to the analysis of a significant subject or problem.

Another example might be the development of a program in Arts Administration which would draw upon offerings in the colleges of Fine Arts, Business Administration, Arts and Sciences, and Communication.

GOAL 4. The existence of the professional programs in art, dance, film, music, and theater are not only of great importance to their own students but to the cultural life of the campus as well. All colleges should examine the methods by which their students can develop a greater literacy of the eye and ear through exposure to the visual and performing arts.

Many professional programs in the Fine Arts have well deserved national reputations and attract students from throughout the country. These programs need to be supported for their own merits, but the larger university should take better educational advantage of the cultural importance of these programs for all students. The academic community needs to create an environment in which more students are encouraged to take advantage of the cultural heritage and enlightenment which such programs seek to preserve and foster. The development of a literacy of the eye and ear is not something which takes place exclusively in the classroom; it must be nurtured by experiences in the concert hall, theater, and museum. Ideally it also should be stimulated by direct experience as participant as well as spectator. The values and importance of this campus as a cultural center for the region repeatedly should be made manifest.

GOAL 5. The excellence of the faculty must be maintained and encouraged through increased support and recognition of distinguished teaching, research, scholarship, and creativity.

An alive and vital faculty expresses its vigor in a variety of activities. A primary responsibility of the faculty is to nurture in students a delight in knowing, accomplished through the examples we set as teachers, scholars, and creators. Many programs, from Baker Grants to University Professorships, seek to acknowledge and reward superior faculty. Such programs should be supported and augmented.

The liberal and fine arts possess a number of distinguished graduate programs which, to be properly maintained, need the financial support necessary for research, scholarship, and creativity by both students and faculty. The various colleges should be encouraged to establish distinguished teaching awards, and the Alumni Association should consider making an annual award to a professor selected by its membership.

A means should be found to encourage and recognize those faculty who succeed in finding ways of applying the knowledge and skills of their individual disciplines to the programs of other units or colleges of the University. If we ask our students to break the bonds of parochialism and provincialism, we should ask no less of ourselves.

Those faculty members who wish to improve their effectiveness as teachers should have recourse to a center in the library where materials describing the efforts and results of superior teachers would be made available to them.

GOAL 6. A strong system of academic advising by faculty members should be established.

The recent effort of the Faculty Senate to insist upon the faculty's responsibility for academic advising is a firm step in the right direction. In the *laissez-faire* days of the 1960s many students and faculty members found themselves either too busy or too uninterested to be bothered by a formal system of advising. Both groups now are aware that a heavy price was paid for our mutual indifference to advising.

Those faculty who have proven themselves to be excellent and conscientious advisors and those who believe they have such potential should be identified, educated in the requirements of the various colleges and programs of the University, and made a part of the pre-college program. If it takes financial incentives to guarantee a large enough group to handle those students who do not opt for the direct entry program, then such incentives must be established.

Faculty, as a group, became indifferent to advising because they saw that such service was not given much credit when it came time to be evaluated for promotion and tenure. This situation is not unique to our campus.

GOAL 7. A variety of courses and programs in liberal studies for adults should be established.

The attention which adult continuing education has received recently has largely tended to concentrate on professional training and problems of certification. There can be no quarrel with those trends which see an increased need for continuing education by adult members of society.

But local and national experience has shown that there are also many adults who would value the opportunity to touch (or retouch) base with the ideas, books, and works of art which have been central to the development of civilization.

To meet their needs, the University should institute a series of Summer Seminars (with the eventual idea of creating a mid-western institute patterned after the Aspen Institute in the Humanities) — perhaps beginning with the anticipated revival of an Alumni College — of one or two weeks duration focused upon single authors or artists or topics of broad interest in world, national, or cultural affairs.

Should they prove successful, such courses might become, as is said about the high schools, the feeders for a more permanent and structured series ofcourseswhich could be offered through a combination of correspondence work and week-end seminars several times a year as well as the Summer Seminars. This program would take advantage of the natural beauty of the campus and its cultural offerings as a means of attracting interesting and interested adults.

GOAL 8. As a means of recognizing the value of integrating experience in life with knowledge gained from creative or intellectual inquiry, all departments, schools, and colleges are asked to create the mechanisms which will offer the opportunity for students to put their education at the service of experience.

Many such mechanisms, ranging from internships, to study abroad programs, to projects such as the Pomeroy reconstruction plan, to individually structured off campus independent study projects already exist. Every effort should be made to expand and encourage such vital exchanges between learning and living.

The Summer Session could be put to much better use in the accomplishment of this goal. A summer job does not have to have a direct relationship with a student's particular field of study to provide him with keen and solid examples of a variety of situations which open themselves to educated reflection or analysis.

The period between Thanksgiving and Christmas could also be formally established as the December Term. A variety of off-campus or independent study projects might be encouraged to develop during this period.

A series of intensive on-campus two-week courses for students living in outside housing could be conducted in one or two academic buildings left open for such purposes during the first two weeks in December. The possibilities for creative use of this period are limited only by our imaginations.

GRADUATE AND PROFESSIONAL EDUCATION

Among the missions of Ohio University are providing graduate education and professional education, at both the undergraduate and graduate levels. The University is presently very actively engaged in fulfilling these missions.

Tables provided in the 1976 Master Plan for Higher Education in Ohio indicate that, of the four major residential universities in Ohio, Ohio University offers the largest number of masters and doctoral programs — particularly in the professional areas (see Table 1). This hard-won standing is an asset and a source of distinctiveness that should be nurtured.

Among these four universities, Ohio University also stands out, both in terms of reputation for quality and in terms of diversity, as a provider of undergraduate professional education. It is distinctive in providing programs in such areas as engineering, radio-TV, and some of the fine arts.

In the following pages the goals for graduate programs and professional programs are listed separately. The goals for the two types of programs are similar, however, and occasional reference back to a graduate goal is made in discussing the professional goals.

An attempt was made to order the goals in terms of their importance so as to suggest priorities.

GRADUATE PROGRAMS OFFERED AT THE FOUR RESIDENTIAL UNIVERSITIES IN OHIO

	Doctoral		Masters		Total	Total
	Prof.	Other	Prof.	Other	Prof.	Other
Bowling Green	3	5	26	20	29	25
Kent State	14	10	24	18	38	28
Miami	5	10	27	20	32	30
Ohio University	12	9	31	23	43	32

NOTE: Opinions may differ as to what programs should be termed professional.

Graduate Programs

Graduate programs are defined as those programs throughout the university which offer a masters or a doctoral degree.

GOAL 1. To set criteria and standards for regular evaluation of graduate programs so as to define needs and objectives within programs and to guide the distribution of resources across the University.

The Ohio Master Plan calls for evaluation of programs, and it has come to be generally recognized that evaluation is a necessary component of any program offering service to society.

Evaluating graduate programs in terms of FTE tells little with respect to how a program is faring in achieving its objectives. Rather, programs should be evaluated in terms of criteria relating to their quality, their achievements, student interest, and societal need.

Such evaluations, on the one hand, point up what a program must do to fulfill its objectives and, on the other hand, give a rough index of the relative standing of the programs in the University.

The following criteria are drawn in part from the Ohio Master Plan. All of them will not be equally applicable to all graduate programs; and, to some degree, each program must develop its own interpretation of them. Each program must also develop standards of attainment for each criterion.

a. Faculty: Level of preparation, valuable non-academic experience in profession, scholarly and creative activity, teaching quality, member's degree of participation in graduate education, retraining and updating, professional society participation, contact with practice in practice-oriented disciplines, making and maintaining contacts with facilities providing student clinical or practical experience.

b. Resources: Adequacy of library, computer facilities, laboratory, practica and internship opportunities.

c. Curriculum: Adequately comprehensive, flexible in response to change, challenging, geared to societal needs and problems.

d. Student Quality: Admission standards, student performance, retention and attrition, effective faculty counseling.

e. Need: Student demand, job market, service to other programs, relationship to undergraduate training, contribution to general scholarly reputation of university.

f. Productivity: Adequacy of management and utilization of available resources and development of new resources; satisfaction of graduates in terms of achieving career objectives or, in some cases, in the education they have received irrespective of its value in the current job market; contributions to community and society.

g. Reputation: Scholarship of faculty, appeal to applicants measured by their quality and geographical diversity, standing with respect to other programs in Ohio and programs of quality throughout the nation.

Program evaluation should be conducted on a regular basis. Within programs, an annual evaluation would be coupled with such activities as scheduling of classes, performing salary review of faculty, and budget preparation. Program size (number of students) should be set at the time of evaluation.

There should be a University-wide committee established to make comparative evaluations across programs. The committee could be made up, for example, of representatives from the Curriculum Council and the Graduate Council. This committee would be required to determine common factors in programs at both the masters and doctoral level and to determine a system of weighing the importance of each factor to the quality of each program.

At all times, but particularly in time of scarcity, resources must be distributed among programs based on their standing in terms of one or more of several considerations, not all of which will be relevant to all programs. Pure FTE decisions should be avoided:

a. clear demand by students meeting standards for quality;

b. importance and quality of scholarly and creative activity by the graduate faculty, assisted by students;

c. clear need to support or complement, with courses and facilities, other programs in strong demand by students;

d. societal need in terms of the job market for graduates or in terms of demand for the scholarly and creative product of the faculty and students.

It is clear that some quality graduate programs can never support themselves through enrollment and grant support and that societal need is an ambiguous term. Presumably all of higher education serves the needs of society, but certain transitory conditions tend to emphasize obvious and direct needs to the detriment of less fashionable and less obvious ones. The University best serves society by recognizing the evanescent nature of widely publicized needs and responding conservatively — that is, to both the widely publicized and the less obvious needs.

GOAL 2. To support the achievement and maintenance of quality in programs where there is evidence of student interest, scholarly and creative accomplishment, and societal need.

General support from the University must be given to achieve and maintain quality in graduate programs. This support can take various forms as suggested in the following list. The commitment of resources to graduate programs is a major and continuing objective.

a. Financial support for the library. The backbone of education and scholarship in every graduate program is a well-stocked and up-to-date library. With the participation of each unit of the University, a plan to set standards for holdings of the library and to provide the means to meet those standards must be established. To emphasize the importance of the library to the University and its graduate programs, the planning should be managed by a committee formed of the Provost, the Director of Libraries, and the Dean of the Graduate College.

b. Strong recruitment programs for new faculty. There should be no threat that funds for a position may be lost if the position is not filled quickly. Standards for the new staff member should be set and met even if the search requires considerable time and expense.

c. Facilitation of scholarship and creativity. The University can contribute to scholarly and creative activity with inhouse grants, flexible teaching assignments, professional leaves, support of other professional development opportunities, manuscript typing service, funds for reprint costs and travel expenses to conventions for both graduate students and faculty.

d. Encouragement of education and training in teaching techniques.

e. Fostering community contacts to develop internship and service opportunities for students and faculty.

f. Assistance in obtaining grants and contracts for research and service. Either a central person or a pool of money to draw on by faculty pursuing grant opportunities should be provided so as to augment the administrative services presently provided by the Research Institute.

g. Promoting interdisciplinary contact. Duplication of courses across departments should be evaluated to determine if they might be eliminated. This could free some faculty time and provide some diversity of viewpoints to students. Treasuring students for their FTE value fosters such duplication; therefore, FTE considerations must be minimized. Encouragement should be given to interdisciplinary scholarship and programs and interuniversity collaboration in both scholarship and graduate education.

h. Strong TA support. Teaching assistantships and research assistantships not only support scholarly activity but also provide students with valuable experience in their academic field. These assistantships are usually necessary to attract quality students.

GOAL 3. To develop financing for graduate education.

Graduate education is costly. In a fiscally ideal situation graduate programs could more than pay for themselves with outside funding, student fees, state subsidies, and recompense from undergraduate programs for TA teaching (releasing graduate faculty at relatively high salaries).

But such a fiscally ideal situation may not be ideal in terms of the quality of undergraduate teaching, nor is it the situation that prevails at Ohio University.

Thus, constant effort is needed to deal with the costs of graduate education. These efforts could involve the following.:

a. Obtaining foundation support for graduate study, basic scholarship, research, and creative activity. There may be an upturn in such support in the next few years from the level of the last few, but the increases are likely to be in selected areas (especially applied) rather than across the board.

b. Developing and offering advice and counsel to the State of Ohio on matters of student fees and subsidies.

c. Providing some minimal scholarship support for graduate students who are willing to pay most of their own way but need some encouragement. Of course, such an approach would have little effect in areas in which nationwide practice is to give full support. However, students who pay most of their own way might be particularly well qualified and motivated — especially in a period when the job market is not too bright.

d. Seeking public service contracts with governmental agencies and industrial concerns.

e. Developing specialized programs to make the graduate program more attractive and more generally known (See Goals 4 and 6 below).

GOAL 4. To achieve flexibility in programs, built around a stable core, and to combine resources into new programs.

National job market projections indicate no need for expansion in the number of programs offering graduate education or in the overall number of graduates. The Ohio Master Plan takes cognizance of these projections and envisions no additional graduate programs with the possible exception of a few practice-oriented, consortial arrangements at the doctoral level or a few practice-oriented programs at the masters level.

Thus the rules of the game seem to be set although we are well aware of the general ability to make accurate forecasts of changes in education or in society. Moreover, the forecasts of oversupply of doctorates in the coming years vary widely — from over 100% in some fields to actual undersupply in others.

Graduate programs should be prepared to meet anticipated and unanticipated changes, but graduate training cannot change radically from year to year. Certain core aspects are very slow to change. Staffing levels change slowly also.

Such relative inflexibility is probably good in the light of the difficulty to make accurate projections. Nevertheless, a staff which keeps current can make changes in course offerings and concentrations to reflect trends in needs and demands.

Changes in needs and demands can also be met by combining the resources available in several programs (e.g., MA in social science, administration, geophysics, business-journalism).

Forecasts indicate that interest in, and demands for education and retraining of older persons will increase dramatically in the coming years. Surveys should be conducted to anticipate the needs and demands imposed on Ohio University as this trend develops.

Anticipating increased interest on the part of older persons in mid-career changes, flexibility in curriculum and in the means through which courses may be offered to fully-employed, nonresident students should be planned — without sacrificing critical components of graduate training.

Residency requirements may be altered somewhat in terms of total time required and to make short periods of residence by employed persons feasible in satisfying some program requirements. At the same time, the importance of the residence experience must be made clearly understandable. Although the location of Ohio University tends to place it at a disadvantage for lifelong learning in comparison to universities located in urban areas, the disadvantage may appear somewhat less if it is considered that relatively few programs can be completed on a purely part-time basis even at urban universities.

Ohio University is the only public university in Ohio which is authorized to offer courses by correspondence. Some correspondence work at the graduate level could be developed to ease the burden of nontraditional students and to attract them initially to the programs at Ohio University.

GOAL 5. To support and encourage research, scholarship, and creative activity.

Active programs of scholarship, research, and creative activity are the foundation of graduate study; and they represent as integral a part of the environment at a university as do athletic programs, social organizations, and so on. Resources must be allocated accordingly.

Scholarship and creativity serve to advance knowledge and enrich life — all to the benefit of society — but they also represent an essential part of the educational experience of graduate students, who play an important role in the conduct of much of the scholarship and research at a university and who make important contributions to the esthetic environment.

The Ohio Master Plan envisions increased state support for research which is allied with graduate study.

Ohio University should also give high priority to the support of scholarship so as to promote a scholarly environment at the University, to give spice to teaching (students gain from reading the standard literature, but they also gain appreciably from being able to hear first hand of the scholarly and creative activity of their instructors), to enhance Ohio University's reputation as a significant center of learning, and to make contributions to society.

Many of the ways in which scholarship and creativity may be supported and encouraged are listed under Goal 2. A system for rewarding individual faculty members for excellence in research, scholarship, and creativity should be made clear as should a system of penalties for graduate faculty members who fail to make scholarly or creative contributions.

Returning a larger portion of overhead research funds to the originating unit would represent another type of earned reward.

GOAL 6. To make graduate programs attractive to quality students.

The quality of graduate programs is substantially dependent upon the quality of students because of their involvement in the scholarly and service activities of various programs. Thus, efforts must be made continuously to attract and admit quality applicants. These efforts can take such forms as:

a. Compiling and making generally known within and outside the University a list of the unique features, the strengths, and the instances of outstanding scholarship and creativity that characterize graduate programs at Ohio University.

b. Recruiting. The central recruitment office of the University should be able to offer some assistance and advice to graduate programs in their own recruitment programs. Programs should have some funds earmarked to support specific recruitment activities.

c. Increasing distinctiveness. Demonstrate that there are programs, new and old, which are flexible and responsive to student interests and society's needs.

d. Develop special programs, workshops, lifelong learning opportunities, retraining programs, etc., to bring more persons into contact with what Ohio University is, does, and can do.

e. Advertising that programs have up-to-date technological resources and library resources (once obtained!).

f. Showing interest in advising and placing of students consistent with a well-considered analysis of relevant data.

g. Securing, and making known they exist, good opportunities for internships and other practical experiences.

h. Demanding and publicizing standards for achievement which fully prepare graduates.

i. Increasing graduate stipends where necessary to make them competitive with institutions which are comparable in quality and appeal. An increase of 1/3 to 1/2 is now necessary in many programs.

Professional Programs

Professional programs are defined as those undergraduate and graduate programs throughout the University which are designed to prepare students for a specific occupation. A profession is often defined as a body of practice, founded on basic knowledge and humanitarian values, and involving contact with and service to a clientele. A professional is often considered as one who gives life-long dedication to his discipline, formally affiliates with others in the discipline, is licensed or certified, and derives his basic income from the practice of his profession.

GOAL 1. To set criteria for regular evaluation of professional programs so as to define needs and objectives within programs and to guide the distribution of resources within the University.

Standards for evaluating undergraduate professional education are similar to those for evaluating graduate education (see Graduate Education Goal 1). There are some differences in emphasis and weights which must be identified within each program. It is recommended that a Professional Program Evaluation Council be established to set criteria and standards for University-wide evaluation of professional programs on a biannual basis.

Moreover, because many professional programs rely to a strong degree on the offerings in the broad, liberal disciplines, the adequacy of a program is partially dependent on factors outside the governance of the program.

Professional programs must also be responsible to the standards dictated by accreditation and certification requirements. Programs which rank high in terms of quality, student interest, and societal demand command strong support from the University.

GOAL 2. To support professional training at a high level.

Ohio University has a widespread reputation as a residential university offering strong programs of professional education. The majority of entering freshmen declare interest in one of the professional or preprofessional programs. This attractiveness of the undergraduate professional programs at Ohio University may represent one means by which Ohio University may be able to recruit an increasing proportion of high school graduates as their total number declines in the decade of the 1980's. The presumption is, of course, that college students will be primarily interested in career training during the 80's. It is a reasonable assumption, also, that even those prospective students (and their families) with an interest in general liberal education may favor attending a school where there is a wide availability of reputable professional education, in the event they should decide later to turn to it. Therefore, Ohio University must direct substantial resources to supporting and developing programs of professional education.

GOAL 3. To provide basic liberal and fine arts and science programs to support professional programs.

Professional education involves more than merely the acquisition of techniques. The professions are characterized as drawing upon basic scientific knowledge and governed by ethical and humanitarian considerations.

Future professionals, therefore, must have both basic science and liberal studies education. For this education they must rely on science laboratories, the library, the computer, learning resources, and the staffs of basic science and liberal and fine arts programs.

Hence, supporting professional education entails supporting these essential components. They, too, must be evaluated for their effectiveness in fulfilling their professional education mission. They must also be funded in part by the revenue-producing potential of attractive professional programs.

GOAL 4. To make professional programs flexible, around a stable core, so that resources can be best utilized in serving needs of society and interests of students.

The enrollment in professional programs has waxed and waned in previous decades as societal need and resultant student interest fluctuated. Awareness of this fluctuation should be manifested in constant alertness to change and preparation for meeting new trends.

To do this staff members must be encouraged and assisted in maintaining contact with the practice, in retraining and updating themselves, and in acquiring access to new technological resources. Leaves should be provided to accomplish much of this. Each program should periodically review itself, its course offerings and its major concentrations. While maintaining a core of courses, changes in optional offerings can make for a flexible program.

Although new programs are difficult and costly to launch, contacts across professional programs and with supporting programs in the arts and sciences can result in the recombination of existing resources so as to offer new interdisciplinary specialities with little start-up costs. Programs in environmental studies, geophysics, and business-journalism, which are now in existence or are now being contemplated, represent examples.

GOAL 5. To foster community contacts for service and training.

Professional programs are uniquely positioned to offer service to the community (Southeastern Ohio and the state capital) as well as benefit from training and practicum experiences for students and faculty in the community.

Effort must be given to taking the initiative in maximizing these contacts both to benefit the students and faculty in their training and as a source of funding through providing workshops, on-site employee training and consultation, and research grants or contracts. Such contracts may also lead to donations of money and recruitment efforts by those persons who come in contact with the programs in these ways.

GOAL 6. To foster extended learning opportunities in professional education.

Professional education is perhaps especially attractive to students taking part in part-time education, retraining, career change education, and workshops. Therefore, professional programs must play an active and leading role in developing and offering programs to the nontraditional student. However, staffing levels in professional programs are taxed by heavy traditional demand; and this severely limits the capability to offer non-traditional programs. Forms of extended learning opportunities might include the following:

a. Programs for the practicing professional who needs a degree.

b. Programs for the practicing professional who wants to broaden his or her skills.

c. Programs for the practicing professional who wants to move into teaching and either needs a degree or who wants assistance in teaching technique.

d. Workshops and other educational experiences at Ohio University or elsewhere designed to help the practicing professional become knowledgeable in current trends. Many organizations will pay for such programs to help assure that their employees are up-to-date.

Adjunct professorships may be feasible in order to acquire professionals who have more contact with current trends than the regular University staff. Such adjunct professors could be extremely useful in the education of traditional students on campus once the contact was made.

e. Programs for the layperson with specific needs (income taxes, publicity, bookkeeping, budgeting).

f. Workshops for high school students.

g. Workshops for college students (e.g., college newspaper editors and reporters, graduate students interested in teaching technique).

GOAL 7. To set standards for achievement by students.

Professional programs must protect their reputations, serve their professions, and assist their students through the education of capable graduates. Standards for achievement for students in professional programs must reflect conventional standards for academic performance.

They must also be derived from the standards of the profession and familiarity with the capability and training expected of new employees by employers. This latter consideration may imply some new testing procedures as well as the institution of practica.

GOAL 8. To provide up-to-date practical counseling to students in professional programs.

Students entering professional programs and those about to be graduated should be advised as to trends in employment opportunities so that they can make practical and realistic choices in the direction their training takes.

Willamette University Planning Outline (Excerpts)

In developing their planning process, staff at Willamette University drafted a working paper entitled *Planning Outline*. "The following document", the paper begins, "represents our best effort at looking at where we are and considering, in the light of that and the externalities noted, where we might think about going." Portions of the most recent version (1979) of the *Planning Outline*, which is reviewed and updated on a regular basis, are included here to illustrate how one institution has laid the foundation for their planning process by documenting the relevant facts, assumptions, and goals specific to that institution.

TO: Willamette University Community 1 May 1979

FROM: University Planning Committee

The pages which follow constitute a summation of the Planning Committee's work during the past year. It is what we view as the "first annual revision" of the draft written in 1978-79 and distributed on January 13, 1978.

If one compares this draft with the first, it should be clear that certain issues have received special attention this year. The goals have been made more specific and activities have begun to achieve them. This second report contains some of the biases and unevenness of the first. It is very much biased toward identification of issues and areas of the University which are of special concern. The draft is not a comprehensive description of the University. It is intended to give a complete listing of areas we believe need attention in planning for the next few years.

The core of the introductory memo for that draft is still pertinent.

"As we look toward the 80's, it seems sensible, and perhaps imperative, that we plan with some care if we are to preserve the academic excellence of the institution and meet with intelligence the challenges that obviously lie ahead.... The following document, therefore, represents our best effort at looking at where we are and considering, in the light of that and the externalities noted, where we might think about going.... These goals range from very specific to very general and are in no way ranked in order of importance. All are open to discussion, and we invite and urge your comments and suggestions.... It is our belief that from our mutual efforts can come a strong and positive future for our institution."

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COMPREHENSIVE ASSUMPTIONS

General Economy

1. Inflation will continue in the foreseeable future at a minimum of seven percent per year.
2. The continuation of a four to five percent annual growth rate in the Gross National Product is not likely over the next five years. National expenditures on education as a percent of Gross National Product (currently just over seven percent) is not likely to increase.

Higher Education in General

1. The impact on higher education of inflation and wage-price guidelines and controls will continue to be more severe than on most other sectors of the economy because there are few opportunities to increase productivity. The greater the rate of inflation, the greater the cost pressure on higher education.
2. The number of persons in the traditional age group (19-21) will decline during the next five years by seven percent.
3. Further increases in the percentage of students of college age actually attending college are unlikely.
4. The growth of the community and junior colleges will continue but at a reduced rate.
5. Institutions will be engaged in an aggressive search for students to maintain enrollments.
6. Cost reduction efforts will be necessary to maintain priority programs and achieve compensation levels which offset financial pressures on faculty and staff.
7. External student financial aid fund sources will continue to increase, but at rates lower than in recent years.

Private Higher Education

1. Enrollment patterns for private higher education in general will follow the decline in the total number of college age students nationally.
2. Tuition rates will not continue to increase in relation to student costs.
3. Increased attention to general education and continuing education with a focus on liberal education will dominate curriculum planning.

COLLEGE OF LAW
ENROLLMENT

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
1. There has been a nationwide decrease in the number of persons applying for law school. Current first year enrollment is higher than planned or desired.	1. As the applicant pool decreases, competition for students will increase.	1. Achieve enrollment at the intended maximal size of the college.	1. Enroll 140 new first year students in fall of 1979.	1. Dean Admissions staff	Spring, Summer
2. The qualifications of entering students have been approximately the same the past three years. (LSAT 614, G.P.A. 3.35). This is slightly above the national norm.	2. We wish to maintain high standards, even at the cost of some decrease in the number enrolled.	2. Maintain high standards of admission.	2. Expand applicant pool through all possible means: personal visits, correspondence, brochures. Cooperate with the West Coast Recruiting Consortium.	2. Dean Admissions staff	Fall, Winter
3. The numbers of minority students in the entering classes in the last three years have been: 1976--6; 1977--12; 1978--17. (We include Blacks, Hispanics, Native Americans, and Asian-Americans in our definition). All students are graded by the same standards. Some minority students come to law school with weaker academic backgrounds than non-minority students and can benefit from a tutoring program.	3. We desire to help increase minority representation in the Bar and appreciate the added dimension that minority students bring to the total law school experience of other students. We wish minority students to succeed academically and do not wish to use a double standard in measuring academic performance.	3. Continue and improve our minority student program.	3. Seek out and admit qualified minority students. Develop a financial aid program that assists qualified minority students to attend WUCL. Continue to experiment with tutoring programs to develop a method that will minimize academic attrition.	3. Dean Minority Student Committee	Fall, Winter
4. Placement of law graduates in desirable positions is becoming increasingly difficult.	4. We are not doing as well as we should in discovering opportunities for placement of graduates.	4. Have a placement office that provides career counseling, actively seeks to discover law positions, and helps to place students in clerkships and permanent positions.	4. Visit law firms throughout the Northwest. Conduct placement seminars using lawyers and judges. Investigate opportunities for cooperation with GSA in placement.	4. Dean Placement Dir.	Fall, Winter, Spring

COLLEGE OF LAW--ACADEMIC PROGRAM

FACTS	ASSUMPTIONS	GOALS	ACTIVITY	RESPONSIBILITY	TIME
1. Students should be prepared for professional service as a lawyer. Work of a lawyer demands analytical skill, ability to communicate, application of professional values to decision-making process and concern for individual and societal values.	1. Primary mission of the Law School will remain constant.	1. Strengthen the curriculum and course content to effectively carry out the Law School mission.	1. Review curriculum and course content.	1. Dean, Faculty, Curriculum Comm.	ongoing
2. Law School has a joint degree program with the Atkinson School. It is attractive to prospective students.	2. The joint degree program meets the needs of certain students and strengthens the ability of the College of Law to recruit new students.	2. Academic excellence in the joint degree program. Coordinate course offerings with the Atkinson School.	2. Consider joint law-administration faculty appointments. Review joint law-administration degree requirements and implementations. Monitor and evaluate program.	2. Faculty, Dean, Joint Committee of the College of Law and the School of Administration.	Spring '80
3. The curriculum contains a minimal number of courses beyond the core curriculum.	3. Greater curriculum richness with appropriate specialization will a) add to the intellectual climate in the school and increase our academic reputation. b) make us more competitive in attracting and placing students.	3. Increase curriculum richness and develop appropriate areas of specialization in the curriculum.	3. Create summer school. Use between semester period for intensive courses. Increase number of GSA courses available to law students. Increase cooperation with undergraduate school to provide additional enrichment courses. Consider need for additional faculty.	3. Dean, Faculty, Curriculum Com.	ongoing
4. We are the smallest accredited law school on the West Coast and among the smallest in the country. Because not all our beginning courses are sectioned, we have some first year classes which are the largest of any law school in the Northwest.	4. Our smallness is attractive to some potential students. Our actual class sizes in some cases differ from student expectations. There are academic advantages to smaller classes.	4. Reduce class size where particularly desirable (first year classes, selected second and third year classes.)	4. Consider options for accomplishing goal and make recommendations considering different use of present faculty and adding faculty. -	4. Dean, Faculty	Dec. '79
5. Continuing legal education activities and programs have been limited.	5. The School can and should provide opportunities for continuing legal education.	5. Develop on-going continuing legal education.	5. Consider Oregon Law Institute proposal for cooperation of all three Oregon law schools.	5. President, Dean, Faculty	ongoing
6. Law schools have recognized the value of offering law students practical training in the law. This training has been given through the creation of legal clinics or in some cases through extensive offerings of simulated practical problems.	6. The academic program should prepare law students to represent clients competently and responsibly.	6. Aid law students in developing professional skills.	6. Determine whether we should create a legal clinic. Bring lawyers, judges and other law professors to the College of Law. Provide forums for discussion of professional ethics.	6. Dean and Faculty	ongoing

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
7. There are a substantial number of students who work more than fifteen hours per week and this results in a concomitant decline in class attendance and in the level of class participation of those who do attend.	7. Low standards are not tolerable at a quality law school. Commitment to law study is essential.	7. High standards of academic achievement are desirable for WUCL graduates. The Law School must provide alternatives for students that work for compensation, placement and experience.	7. Provide better structure for internship program and credit received therefore. Reduce number of pass-fail courses. Reduce number of courses where grades are given for work unsupervised by faculty. (Moot Court, Mock Trial, and Law Review). Review scheduling problems created by practice of Friday off for seniors. Reduce credits given student teaching assistants in legal writing by increasing mandantory compensation.		Fall and Spring
8. At the present time we do not have a summer school.	8. A summer school would be advantageous to WUCL. First, it would allow additional courses to be offered to our students. Second, it would allow professors of other law schools to teach at WUCL. Third, it would provide the joint degree students with an opportunity to ease their credit difficulties.	8. Establish a summer school.	8. Review experimental summer program during summer of 1979.	8. President, Dean	Immediately

COLLEGE OF LAW--FACULTY

III.A

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
1. There are presently 15 full-time regular faculty. In addition there are a Research and Writing instructor and several adjunct part-time instructors.	1. Basic courses included in the first two years of law School should, except in unusual cases, be taught by full-time faculty who are professionals in the teaching of law and who engage in significant scholarly research. A limited number of the advanced experiential courses may be taught by adjunct faculty. These courses must be taught with law student/faculty ratios to enable supervision of the work product.	1. Maintain a qualified faculty large enough to offer students substantive and experiential options in selection of courses. Increase the number of offerings where the curriculum is thin, such as environmental law.			
2. The faculty at WUCL is known for its excellence. With the small number of faculty and slow turnover, new ideas and approaches do not appear as frequently as they otherwise might. One senior faculty member is scheduled to retire at the end of 1979-80.	2. The teaching ability and leadership of senior faculty has allowed WUCL to establish a reputation for excellence. Intellectual stimulation depends, at least in part, on an infusion of new ideas into the academic program. One means of moving toward excellence in the program is to develop areas of emphasis (e.g., labor law, taxation, public law). The curriculum is presently thin in certain areas such as environmental law.	2. Maintain excellence of faculty with a balance between distinguished senior faculty and positions for younger persons with potential. Develop some areas of specialization within the faculty.	2. Fill vacancies carefully to minimize the loss and to develop programs. Raise funds for a Law School chair to be occupied on a one-year basis by distinguished visitors at the College of Law.		
3. Relatively few of the law faculty are currently engaged in significant scholarly research, writing, or theorization. Faculty involvement in innovative community projects, social concerns, or mainstream professional activities of a public service dimension is limited.	3. The amount of scholarly research and public service work is limited due to a number of circumstances including but not limited to a lack of supporting resources and competing demands on time caused by service on committees in the administration of the Law School. Intellectual stimulation and Law School reputation depend, in part, on sustained scholarship and faculty involvement in innovative community projects, social concerns, and mainstream professional activities of a public service dimension.	3. Achieve greater faculty scholarly productivity and professional activity.	3. Encourage scholarly research, writing, and theorization. Provide additional resources for research activities (both in summer & during the year). Encourage faculty development activities. Use the potential to engage in significant research and scholarship, in addition to the primary basis of outstanding potential for teaching excellence as an important criterion in selection of new faculty.	3. Dean	
4. There is a widening gap between the earnings of the best private practitioners and Law teachers. Comparative figures rank faculty salaries at WUCL near the bottom of approved A.B.A. Law Schools.	4. Salaries of law professors must be improved in order to retain and attract the best faculty. Compensation policies should reward excellence in teaching, scholarship, and professional services of a public service dimension.	4. Achieve faculty salary levels high enough to ensure excellent faculty. Have salary policies which reward excellence in teaching, scholarship, and public service.	4. Make WUCL faculty salaries a budget priority item. Award merit increases based upon productivity and excellence.		

ACADEMIC SUPPORT--LAW LIBRARY

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
1. Law Library policy is and has been to create a good working collection designed to meet the needs of students and of faculty for class preparation. We have an adequate Anglo-Saxon working collection of statutes, administrative laws, court reports, periodicals, and treatises. The collection does not contain in-depth coverage of the development of the common law needed for legal research on scholarly topics. Research dealing with U.S. law requires access to federal materials beyond those presently held.	1. There will be increased demands from faculty for library material to support scholarly research.	1. Increase the collection to meet the additional needs for research material and to continue to improve the basic collection.	1. a) Compare American Association Law Schools subject lists to library holdings. b) Compile "want lists" (many items will be out-of-print) and circulate lists among other librarians who have duplicates for trade or sale. c) Review possibility of purchasing Congressional Information Services package of federal documents on microfiche.	1. RFB in coordination with the President, Dean, and Law Faculty Advisory Comm.	ongoing 1985
2. The present capacity of the library is 90,000 volumes. It is 75% to 80% full. Microfiche can be used to replace little-used hardbound material. At present rate we will reach capacity in about five years.	2. The rate of acquisitions will increase as we attempt to meet the demand for research materials.	2. Provide adequate physical facilities to support curricular and research activities.	2. Prepare a report projecting future space needs of library. Coordinate with plans for new University library and the Campus Facilities Committee.	2. Law Librarian Dean	October '79
			Continue membership in Law Library Microfiche Consortium and expend portion of annual acquisitions budget to replace portions of collection with microfiche.	Law Librarian	ongoing
3. The Law Library presently has no computer-based legal research service such as LEXIS and WESTLAW.	3. Familiarity with automated legal research systems will soon be an essential skill for all lawyers.	3. Provide equipment and materials necessary to train students in modern legal information methods.	3. Study options for provision of automated legal information systems. Select option which best meets needs and develop proposal for obtaining and funding a system.	3. Law Librarian Law Librarian Dean Development Office	Summer '79 Nov. '79

FACILITIES

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
1.		1. Provide attractive, functional and effective classroom and laboratory space.			
a) With the present curriculum and methods of instruction there is a lack of seminar rooms and a surplus of large lecture halls.	a) No change in curriculum or instructional methods which will have a significant effect on instructional space needed.	a) Have a close match between classroom design and the activities of the clases which use them.	a) Complete Phase II of the Campus Development Study to determine and evaluate the alternatives for achieving the goals.	a) Campus Facilities Com., Martin, Matteson, Soderstrom, A.I.A., Dir. of Univ. Plan.	Spring, Summer, 1979
b) There is a surplus of assignable instructional space.	b) We cannot affort large amounts of unused space.	b) Design rooms flexible and convenient enough to encourage high wage.	b) Recommend to the Board of Trustees a comprehensive, coordinated plan for rehabilitation, renovation, and maintenance of existing buildings and the location and function of any new construction.	b) Campus Facilities Com., Univ. Plan. Com., President	Fall, Winter, 1979
c) The present class schedule contributes to present inefficient use of buildings.	c) It is possible to improve efficiency by changing the schedule.	c) Minimize space wasted through scheduling.			
d) The existing classroom buildings are architecturally sound. Each is a candidate for renovation.	d) We should renovate whole buildings, rather than construct new ones.	d) Preserve the character and ambience of the campus through appropriate renovation.			
e) Most undergraduate classroom buildings need major improvements. i) Gatke basement is substandard and the building has a major problem with external noise. ii) Eaton Hall has poor offices, much wasted space, and is generally inefficiently partitioned. iii) Waller Hall needs preservation work, has much unused space, and is inaccessible to all but the hardy pathfinders. iv) Collins Hall laboratory space is becoming antiquated.	e) It is of very high priority to improve the undergraduate instructional buildings.	e) Correct the deficiencies in the undergraduate classroom buildings.			

STUDENT SERVICES

A. ADMISSIONS AND PLACEMENT

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
College of Liberal Arts					
1. Almost all students (98+%) are full-time, 18-21 years old.	1. Desire to have some adult part-time students but 95+% will remain full-time, 18-21 years old.	1. Develop small self-supporting continuing education programs.	1. Develop curriculum and program that is capable of financial self-support.	1. CLA Dean, appropriate faculty groups, business office analysis.	
2. Number of new freshmen is directly proportional to number of high school graduates. This number will peak in 1980 and decrease to 5% below present levels by 1982 and 10% below in 1984-85.	2. Competition for well-qualified students will increase.	2. To maintain share of potential new students. Frmn. Trans. New *1977-78 386 78 464 *1978-79 388 89 477 1979-80 400 85 485 1980-81 400 90 490 1981-82 385 93 478 1982-83 370 96 466 *Actual	2. Continuing recruiting efforts and strategies.	2. Admissions staff	
3. There is limited alumni participation and assistance in Admissions/Recruiting.	3. Selected and trained alumni can assist significantly in Admissions.	3. Implement--with Atkinson fund support--a program of Alumni/Admissions cooperation.		3. Asst. Admissions Director and Alumni Director	6-1-79
4. The number of minority students is small--6% to 12% during the last five years.	4. Wish to have a significant number of minority students.	4. Maintain at least 10% minority students.	4. Continue to recruit minority students.	4. Admissions staff with help of Minority Student Union.	
5. Mean GPA at entry of 3.4 in academic subjects. Of our freshmen, 77% say they have high academic ability, compared to 58% nationally and 86% in 10 "comparable" colleges.	5. To attract students it is necessary to be perceived as an excellent academic institution.	5. Attract better students. Increase GPA to 3.6 and perception of ability/preparation etc. to 82%.			
6. Attrition is high at Willamette. Thirty-seven percent of student body is new each year. This figure is 32% at Private Liberal Arts Colleges I and 41% at Private Liberal Arts Colleges II.	6. Retention can be improved, although it will be a slow, difficult process.	6. Improve retention to point where 33% are new by 1982-83.			
7. The number of Oregon students is increasing and Willamette receives State support for the educational services provided to them.	7. The number of Oregon students will continue to increase but the amount of support per student provided by the State is not likely to increase as it has since 1971.	7. Encourage increased public support for educational services provided to these students.		7. Students, Development staff, all faculty & administration, OICA, President, Univ. Relations, N.A.I.C.U.	

B. FINANCIAL AID

<table>
<tr><th>FACTS</th><th>ASSUMPTIONS</th><th>GOALS</th><th>ACTIVITIES</th><th>RESPONSIBILITY</th><th>TIME</th></tr>
<tr>
<td>1. Government Student Financial Aid funds have increased as follows since 1972-73:
<table>
<tr><th>Item</th><th>1972-73</th><th>1979-80**</th></tr>
<tr><td>E.O.G.</td><td>$78,775</td><td>478,000</td></tr>
<tr><td>NDSL</td><td>99,984</td><td>600,000*</td></tr>
<tr><td>Work Study</td><td>20,420</td><td>385,000</td></tr>
<tr><td>State</td><td>26,300</td><td>158,000</td></tr>
<tr><td>Total</td><td>$225,479</td><td>1621,000</td></tr>
</table>
</td>
<td>1. Government Student Financial Aid income will not increase at a rate equal to probable increases in student costs during the next five years.</td>
<td>1. Achieve understanding by public policy makers of need for financial aid support to private institutions.</td>
<td>1. Continue direct lobby efforts with state and federal lawmakers.</td>
<td>1. F.A.O.,
U.P.U.R.,
President</td>
<td></td>
</tr>
<tr>
<td>2. Non-endowed Financial Aid income has increased from $147,868 to $345,000 between 1972-73 and 1978-79. The relative support provided by these funds for needy students is declining.</td>
<td>2. This trend toward the increased availability of financial aid for no need students from non-endowed sources will continue.</td>
<td>2. Encourage wherever possible the development of need based student financial aid gift programs for W.U.</td>
<td></td>
<td>2. Development</td>
<td></td>
</tr>
<tr>
<td>3. Total student financial aid expenditures as a percentage of tuition and fee income have increased 24.0% to 29.9% between 1972-73 and 1977-78. During the last six years the use of institutional funds as a percent of tuition and fees for student aid has ranged from 19.1% to the current 14.6% while unrestricted funds ranged from 14% to the present 11%. Willamette University expenditures for student financial aid from institutional funds have increased as follows:
<table>
<tr><th>Year</th><th>Unrestrct.</th><th>Endowed</th><th>Total</th></tr>
<tr><td>1974-75</td><td>459,000</td><td>134,770</td><td>593,770</td></tr>
<tr><td>1975-76</td><td>422,000</td><td>154,948</td><td>576,948</td></tr>
<tr><td>1976-77</td><td>518,000</td><td>160,822</td><td>678,822</td></tr>
<tr><td>1977-78</td><td>540,000</td><td>184,500</td><td>724,500</td></tr>
<tr><td>1978-79</td><td>586,273</td><td>225,673</td><td>811,649</td></tr>
<tr><td>1979-80</td><td>658,505</td><td>234,000</td><td>892,505</td></tr>
</table>
</td>
<td>3. The probable decline in growth of externally funded student financial aid and the availability of W.U. funds for student financial aid will cause some retrenchment of this percentage in the next five years. As new endowed scholarship funds increase there will be a coresponding reduction in unrestricted University expenditures.</td>
<td>3. Achieve a level of institutional funds expended for student financial aid which does not exceed 13.5% of tuition and fees and at the same time achieve a 10% level of tuition and fees from unrestricted institutional funds.</td>
<td>3. Prepare a study of current financial aid patterns and policies.</td>
<td>3. F.A.O.,
Dir. of Planning</td>
<td>Summer 1979</td>
</tr>
</table>

* 30% of increase in NDSL funds since 1972-73 have been directed to graduate students.
** Projection as of 2/9/79

C. STUDENT DEVELOPMENT

FACTS	ASSUMPTIONS	GOAL	ACTIVITY	RESPONSIBILITY	TIME
Based on the results of the Quality of Life Survey and other informal appraisal, the quality of student life on campus can be improved. The Student Development professional staff are now dispersed in four separate areas on the campus. Many faculty and staff believe that students tend to be less involved in campus activities than in prior years. The professional staff responsible for supervising residence hall staff indicate that they do not have time to provide the necessary support for residence staff.	By bringing together the professional staff from several areas, there will be a greater likelihood of a unified student development effort to improve the quality of campus life. The coordination of various functions and addition of staff should result in greater support for residence staff and expanded programs.	Improve quality of campus life for students through the creation of a unified student development effort.	Write and secure financing for Student Development Proposal.	Student Development staff	Spring '79
		a) Improve communication.	a) Move staff into Health Center building.		Summer '79
		b) Encourage greater student involvement in campus life.	b) Implement a more comprehensive campus activities program and student government program including programs to enrich campus life which emphasizes student/faculty contacts outside the classroom.		1979-81
		c) Increase leadership and peer counseling skills among residence hall staff.	c) Increase professional staff support.		
		d) Greater responsibility on the part of students for their own behavior and governance.			
		d) To encourage communication of student development staff with students, academic personnel and others to work together in improving academic advising.			

D. HOUSING

1. Strong interest in a modified version of the Nutrition Awareness Program (NAP) was indicated in the spring and fall, 1978 food surveys.	1. Students are interested in learning better ways to improve their health and nutrition.	1. To develop student awareness of the importance of good nutrition.	1. Modify nutrition awareness program.	1. Assoc. Dean of Students. Business Office	1979-80
2. The University is a residential campus housing 71% of its undergraduates and 51% of all students on campus. Lee House, an all-male independent residence hall, is not a popular housing option for students.	2. With our residential campus philosophy, the demand for residential space will increase in the next couple of years and then may begin to decrease in line with projected enrollment declines. The demand for comfortable, flexible housing will remain.	2. To continue to provide comfortable housing in a number of alternatives, including an all-male independent residence.	2. Complete a study of projected housing needs.	2. Dean of Students.	Summer '79
			Renovate Lee House by changing all rooms to singles, and offer those rooms at the single rate to upperclass or graduate students.	Business Office	Summer 1980

DEVELOPMENT OFFICE

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES
A. ALUMNI			
1. Liberal Arts College Alumni organization and activities have increased. There are now 21 alumni clubs. In a five-year period, alumni giving in support of the budget more than doubled (e.g., 1971-72 equaled $32,892, in 1977-78, $67,335). Giving of graduate alumni has not shown the same growth.	1. The potential exists for more significant growth in Liberal Arts College alumni giving and givers.	1. Achieve, in 1982-83, another doubling in alumni giving, ($135,000) an increased total participation by the alumni to 30 percent.	
2. No alumni program has been developed for the Graduate School of Administration.	2. Alumni can form an effective organization.	2. Develop a strong supportive alumni association for G.S.A.	
B. INFORMATION SERVICES			
The University publications operation is meeting basic objectives while using minimal resources.	To meet service demands and objectives will require additional resources.	Meet service demands and objectives.	
C. DEVELOPMENT			
1. Present tax laws encourage gifts to higher education.	1. No significant legislative changes affecting charitable gifts.	1. Support continuation of present tax law incentives for charitable gifts.	
2. From 1972-73 to 1978-79, market value of endowment has increased from $16,500,000 to $27,000,000 of which approximately $2,831,089 is from new gifts.	2. We will need an average net growth of endowment income for the operating income of $50,000. From Existing Endwmt. $15,000 From New Endowment 35,000 $50,000	2. Secure $3,000,000 in new endowment principal during the next five years, an average of $600,000 per year.	
3. Gifts for capital construction purposes total $3,644,404 during the last six years--1972-73 to 1978-79.	3. Major renovation of program space currently housed in library, Collins Science, Eaton and Waller must be accomplished in the next 10 years.	3. Secure funds for capital construction during next ten years.	

INSTITUTIONAL SUPPORT

<table>
<tr><th>FACTS</th><th>ASSUMPTIONS</th><th>GOALS</th><th>ACTIVITIES</th><th>RESPONSIBILITY</th><th>TIME</th></tr>
<tr><td>A. ADMINISTRATIVE ORGANIZATION</td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td>1. Direct resource allocation primarily to academic support functions.</td><td></td><td></td><td></td></tr>
<tr><td>1.a) Operating costs of the three administrative support areas as a percentage of total educational costs since 1973-74 are:
<table>
<tr><th></th><th>73-74</th><th>74-75</th><th>75-76</th><th>76-77</th><th>77-78</th></tr>
<tr><td>Inst. Support</td><td>8.9%</td><td>9.3%</td><td>9.2%</td><td>8.6%</td><td>8.7%</td></tr>
<tr><td>Student Services</td><td>9.7</td><td>7.0</td><td>6.3</td><td>6.1</td><td>6.2</td></tr>
<tr><td>Plant</td><td>9.4</td><td>9.9</td><td>10.2</td><td>11.3</td><td>10.3</td></tr>
<tr><td>Total</td><td>28.0%</td><td>26.2%</td><td>25.7%</td><td>26.0%</td><td>25.2%</td></tr>
</table></td><td>1.a) The greatest pressure for increases will be in the student services area followed by plant because of new federal legislative requirements.</td><td>1.a) Maintain the cost of these functions at approximately 26% of total educational costs.</td><td>1.a) Continue to study cost effectiveness of services (placement, health, physical plant, etc.).</td><td>1.a) Admin. Council, V.P. Financial Aff.</td><td>ongoing</td></tr>
<tr><td>1.b) Administrative staffing resources have been allocated to provide more direct support for instructional programs:
<table>
<tr><th></th><th>72-73</th><th>78-79</th></tr>
<tr><td>CLA Professional</td><td>2</td><td>1</td></tr>
<tr><td>CLA classified</td><td>2.5</td><td>7</td></tr>
<tr><td>Law Professional</td><td>1.2</td><td>2.5</td></tr>
<tr><td>Law classified</td><td>8.5</td><td>8.0</td></tr>
<tr><td>GSA Professional</td><td>-</td><td>2</td></tr>
<tr><td>GSA classified</td><td>-</td><td>4</td></tr>
<tr><td>Total</td><td>14.2</td><td>24.5</td></tr>
</table></td><td>1.b) Areas where there are requests for increases are placement (graduate), admissions (graduate & undergraduate), secretarial (undergraduate). Some opportunities may exist for faculty to work part-time in administrative capacities.</td><td>1.b) Seek to integrate those areas where cost efficiency may be gained (placement, advising, word processing, etc.).</td><td>1.b) Initiate a study of placement and admissions, and the involvement of the academic units in word processing.</td><td>1.b) Business Office (Naas and Evans)</td><td>Report, March 1, '80</td></tr>
<tr><td></td><td></td><td>2. Continue to recognize both the autonomous and integrative nature of the three colleges.</td><td></td><td></td><td></td></tr>
<tr><td>2.a) There is <u>one</u> budget for the university, negotiated among its constituents.</td><td>2.a) The university will operate with a single budget rather than develop formulas for the three colleges.</td><td>2.a) The budget process will be well defined and completed by January of each year to enable the best input from all constituencies.</td><td>2.a) Develop forms to obtain budget data for personnel by October 1, other expenditures by December 1.</td><td>2.a) Admin. Council</td><td>Jan. 1, yearly</td></tr>
<tr><td></td><td></td><td></td><td>Study the merits of a single budget versus formula budgeting.</td><td>Deans</td><td>Summer '79</td></tr>
</table>

INSTITUTIONAL SUPPORT

FACTS	ASSUMPTIONS	GOALS	ACTIVITIES	RESPONSIBILITY	TIME
C. UNIVERSITY COMPUTING					
The University computing and data processing equipment is rapidly approaching obsolescence: The NCR 400 maintenance support is scheduled to end early in 1980. The HP 2000 maintenance support is scheduled to end late in 1981. The IBM 1130 is of an earlier generation of equipment.	Equipment replacements will be necessary to avoid serious disruptions of services to students, academic support & administrative support.	To provide a reliable, cost-effective computing capability for students, faculty & administrators.	1. Administrative Capability A. Systems requirements study to specify system personnel, software, and hardware for all administrative users.	A. Andersen & Co. V.P. Finance Dir., Computer Service	Spring, Summer 1979
			B. Acquisition or lease of new system.	Financial Aff. Committee V.P. Finance Dir., Computer Service	Summer 1979
			2. Evaluate academic needs and commission a systems requirements study for academic computing.	Univ. Computer Committee Deans Dir., Computer Services Dir., Academic Computing	FY 1979-80
D. PLANT SERVICES					
No orderly, systematic program has existed for the regular maintenance of mechanical equipment, buildings or furnishings, and mechanical failures have been frequent, costly, often untimely, while the older buildings & their furnishings have been deteriorating more rapidly than should be expected from normal wear & tear.	A systematic program for preventative maintenance will reduce the frequency & cost of equipment failures and result in more attractive buildings and furnishings.	Develop and implement a cost/effective program for preventative maintenance.	Develop a preventative maintenance program.	Dir. of Plant	FY 79-80 & ongoing
			Retrain & restaff personnel to implement a preventative maintenance system.	Dir. of Plant Dir. of Personnel	ongoing
			Avoidance of preventative maintenance problems in buildings and renovation plans.	Architects Dir. of Plant	ongoing

Planning Process Description

Describing the planning process is the task undertaken in project 3 of step 2 of the planning process (developing the planning assumptions and a context for planning). A summary of the process and descriptions of the individuals involved in planning, their responsibilities, the communications links that will be used, the ways feedback is to be handled, and the decision points of the process should be included. (See pages 19-20 of the *Handbook* for an outline of the minimum information to be covered in the planning-process summary.) This description should also be widely critiqued and circulated to facilitate understanding and acceptance of what the process encompasses.

Several sections from *Planning/Universities* by the Ohio Board of Regents appear in this section. First is an outline of the elements or steps that might constitute a planning process. Next are discussions of how a planning office might be organized and the impact of centralization versus decentralization in the organizational structure as it affects the planning process. And finally, a section is included on participation in the planning process—that is, determining the level of involvement by the various segments of an institution.

Also included is a flow chart that describes the planning process discussed in *A College Planning Cycle* and examples of plans from *Planning/Two-Year Colleges.* (The latter includes planning-process guidelines for colleges and departments as well as an example of a college plan addressing the instructional, research, and public-service programs.)

The remainder of the section is a compilation of materials developed by Ohio University as a part of implementing their planning process and includes sample review and evaluation reports, current status of the planning process, and a description of the staff planning process.

Excerpts from the following sources have been used in assembling the materials for this section:

National Association of College and University Business Officers [NACUBO]. *A College Planning Cycle: People Resources Process, A Practical Guide.* Washington, D.C.: NACUBO, 1975.

Ohio Board of Regents. *Planning/Two-Year Colleges.* Columbus, Ohio: Ohio Board of Regents, 1974.

340

Step 2—Context for Planning
Planning Process Description

Materials Included in This Section

PAGE	TITLE
347	Steps in the Planning Process
348	Organization of the Planning Function
350	Centralization and Decentralization
357	Planning Process (Simplified Flow Chart)
358	Example of a College Plan Which Addresses the Instructional Program, Research Program, and Public Service Program
359	Examples of Plans
360	Planning Process Guidelines for Colleges and Departments
361	Ohio University Planning Process Materials

Steps in the Planning Process

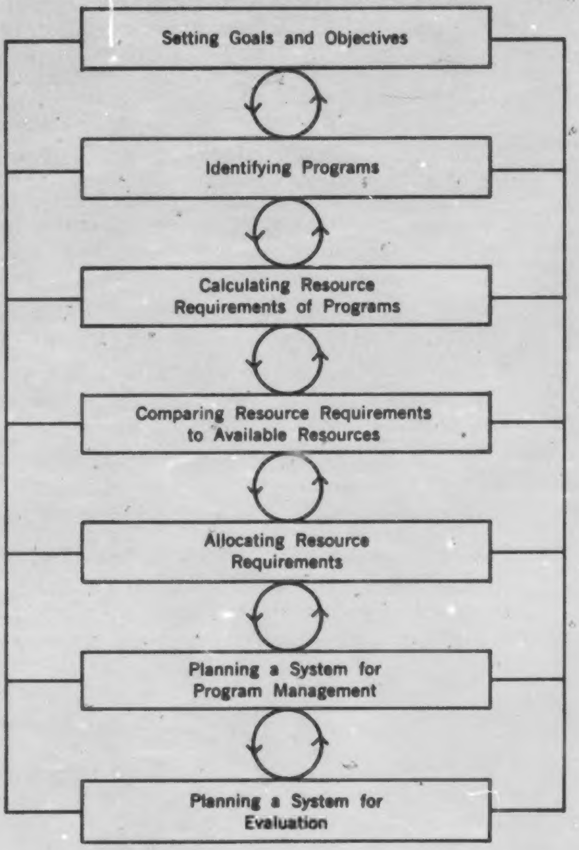
Planning is a cyclical and continuous process which calls for every organizational unit in an educational institution to systematically consider:

1. Setting goals and objectives
2. Identifying programs
3. Calculating resource requirements of programs
4. Comparing resource requirements to available resources
5. Allocating resources to programs
6. Planning for organizing and implementing programs
7. Planning a system for evaluation (Control)

The ingredients of the planning process are not mutually independent. Thus, it is important for educational administrators to consider the total planning process as being integral to management decisions in all existing and conceived programs. Indeed, the planning process should permeate every organizational unit in the institution. See Figure 2 for a graphic illustration of the planning process.

INTRODUCTION

Figure 2
ELEMENTS OF THE PLANNING PROCESS


Setting Goals and Objectives
Identifying Programs
Calculating Resource Requirements of Programs
Comparing Resource Requirements to Available Resources
Allocating Resource Requirements
Planning a System for Program Management
Planning a System for Evaluation

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 21-22.

ORGANIZATION OF THE PLANNING FUNCTION

Steps in Organizing a Planning Office

To initiate a planning organization in an orderly fashion, the following steps are suggested.

1. **Know the goals and objectives.** The organizing efforts must be in keeping with the work to be accomplished. Organizing a planning office is not a panacea which is applied in specific and equal dosages to all educational institutions. The goals and objectives are important because they determine the fundamental organization requirements.
2. **Inventory the current planning organization.** Are the duties and responsibilities of the planning officials clearly specified? Do the people filling these positions have the necessary training and experience?
3. **Break down the planning work to be accomplished into component activities.** Preferably the list of activities should be quite extensive, although not to the point of including minute details. Ordinarily, some planning activities will be subordinate to other activities, but all should be listed.
4. **Group the planning activities into practical units.** Similarity of activities could be used for this grouping. For example, the operating budget and the capital budget would probably be grouped under finance. (It should be recognized that there are differences in the time frame of the two types of budgets. The capital is "one-time money" while the other is ongoing.) The instructional program and research program would be grouped under the educational plan. In the foregoing examples, the main groups have been determined functionally. Other bases for planning could be used such as undergraduate education, graduate education, or by geographical location, such as main campus, branch campus, etc.
5. **For each planning activity or group of activities to be performed, define clearly the duties to be carried out and provide the physical means and environment required.** This amplifies that which is expected of the individual or group who is to execute each planning activity or group of activities and sees that they have the physical tools with

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 48-49.

which to work. It adds substance to the work to be done, makes the organizer decide exactly what is to be accomplished, and provides the employee with a concise statement of what planning action is expected. Titles or other identifications should be assigned to each job. It should be noted that the grouping of planning activities as outlined in Step No. 4 is not necessarily related to assignment of the work. Assignment of work logically follows after the planning activities themselves have been identified and grouped.

6. **Assign qualified personnel and other resources.** After the planning of job content has been determined, its relative importance established, and the duties set forth, the next step in developing a planning organization is to file the jobs with qualified personnel. In the case of reorganizing an existing organizational structure, the qualifications of the incumbent employees would be compared to the requirements of their respective jobs. For each employee, approval, recommendations for training or transfer would follow. In certain situations, e.g., the chief planning officer, it might be desirable to recruit from the outside. In contrast, sometimes, it is necessary or desirable to utilize existing personnel. If using existing personnel, Steps Nos. 4 and 5 are carried out with this thought in mind.

   After personnel have been assigned, they must be given money and other resources. If planning is to succeed, it is absolutely essential for the university to make a financial commitment to planning.

7. **Delegate the required planning authority to the assigned personnel.** To each employee, authority necessary to accomplish his specific work must be granted. Also each member of the planning group must know the activities he is expected to perform, and also his relationship to others in the planning organization. All planning personnel from the highest to the lowest level in the structure should have a thorough understanding of the organization structure, knowledge of why it is arranged as it is, and a comprehensive knowledge of their respective locations and obligations in relation to the whole.

The foregoing steps in organizing a planning organization are basic and apply not only to any type of educational institution but to any part, e.g., department, as well. Organizing is performed by educational administrators at all levels, but the fundamental process remains the same on all levels.

It should not be inferred that other step-by-step procedures to organizing a planning operation are to be avoided. Planning for organization, like most administrative work, requires consideration of many factors. Some of these factors might conveniently be classified as internal and external factors that influence the planning process.

Centralization and Decentralization

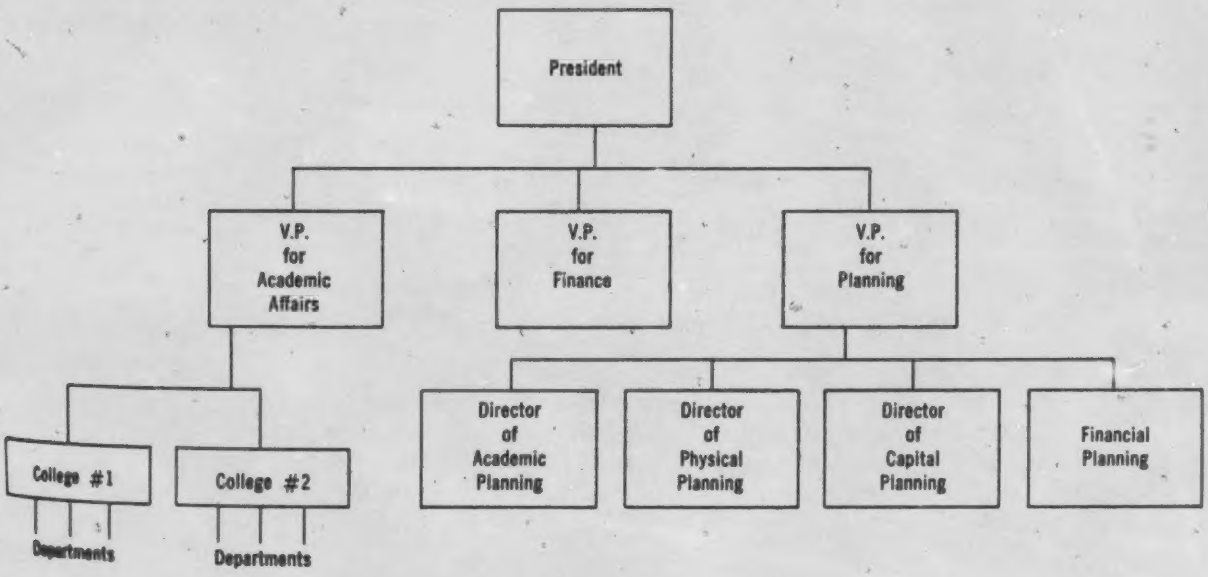
Another important concept that relates to the scope of planning and has a great deal of affect on the organization of the planning office is centralization and decentralization in the organizational structure. In management, the former identifies concentration of authority, while the latter that of dispersion of authority. The controlling issue is how much authority is delegated to subordinates.

Actually, there is some decentralization of authority in every organizational structure, otherwise the structure could not exist, that is all authority would be vested in the president. Likewise a manager cannot delegate all his authority for by so doing, he ceases to be a manager. Hence, centralization and decentralization can be thought of as two theoretical extremes, neither of which are found in actual practice; but the concept of each one is helpful in organizing for the planning function.

To illustrate the concept of centralization reference should be made to Figures 9 and 10.

Figure 9

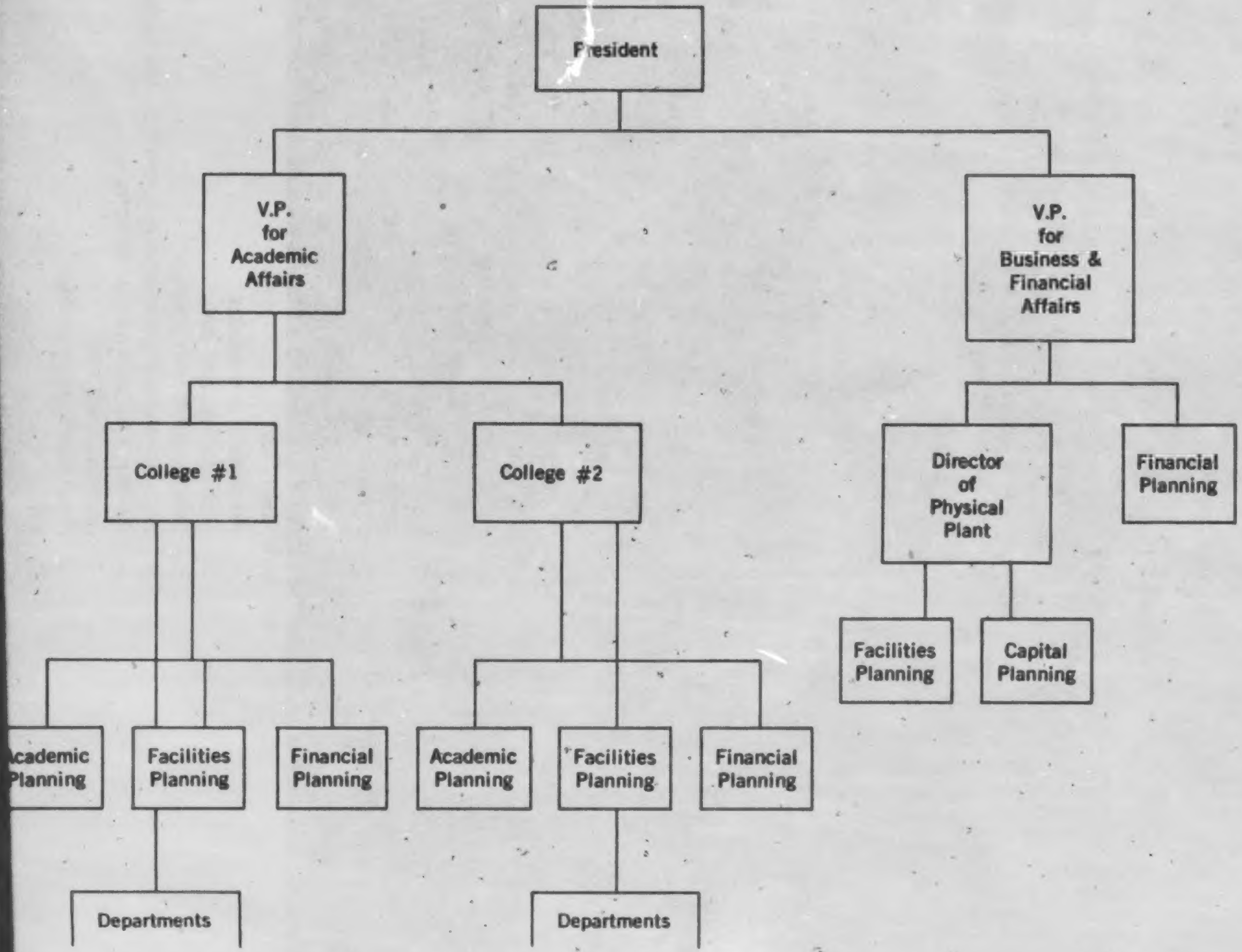
A SIMPLIFIED ORGANIZATIONAL STRUCTURE FEATURING THE CENTRALIZATION CONCEPT OF THE PLANNING FUNCTION


President
V.P. for Academic Affairs
V.P. for Finance
V.P. for Planning
College #1
College #2
Departments
Departments
Director of Academic Planning
Director of Physical Planning
Director of Capital Planning
Financial Planning

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 55-61.

Figure 10

A SIMPLIFIED ORGANIZATIONAL STRUCTURE FEATURING DECENTRALIZATION CONCEPT OF THE PLANNING FUNCTION



President
V.P. for Academic Affairs
V.P. for Business & Financial Affairs
College #1
College #2
Director of Physical Plant
Financial Planning
Facilities Planning
Capital Planning
cademic Planning
Facilities Planning
Financial Planning
Academic Planning
Facilities Planning
Financial Planning
Departments
Departments

An examination of Figures 9 and 10 should quickly reveal that probably no university would organize its planning function along the lines indicated. For example, in Figure 9, the planning function is viewed as being the responsibility of one vice president and a central staff. The other vice presidents are not given any planning responsibilities.

In Figure 10, the planning responsibility is dispersed and duplicated among a number of administrators with no central control.

As previously stated, planning is a responsibility of every administrator. However, in order to provide a positive direction for the university, some central control must be exerted because of diverse opinions. Thus, it appears that the "best" form of organizing for the planning function is to combine features of centralization and decentralization. The problem is to determine the degree of centralization or decentralization.

Centralization vs. Decentralization

The determination of a centralized planning organization as well as the centralized allocation of resources poses many questions. Are they one and the same? Does the centralized planning staff develop all goals and objectives themselves? Draft all of the plans? Do they actually allocate all resources? On the other hand, does the central planning staff coordinate the process? Do they assist the process by providing data, cost studies, projections, etc.? Design and operate the process? Handle involvement questions?

To assist in answering the questions of how much centralization or decentralization is desirable at individual institutions the following guidelines should be helpful.

1. There should be someone charged with the responsibility for designing, implementing, and evaluating the planning process.
2. The same person **therefore** must be also recognized as responsible for the resource allocation **process** (budgeting) because that is an integral part of the planning process.
3. Responsibility for **process,** though obviously important and necessary, does not **necessarily** imply responsibility for creating plans, or allocating resources, or any other operational decisions.
4. The person so designated in 1 and 2 above must be sure that, among other things, clear responsibility must be delineated and understood for such items as
    a. enrollment projections
    b. cost studies and data
    c. forms and format design
    d. systems and data processing support to the process
    e. income and expense projections
    f. process deadlines
    g. involvement methodology
    h. etc.
5. The issue of centrality versus decentrality reaches its impasse when considering point 4 above. All or some of the offices providing those

functions could be organizationally placed under the individual, or he could merely make sure that wherever located, they understand their responsibilities.

6. If a decentralized mode is chosen, the person responsible under 1 and 2 above must be a very top level administrator so that he can impact the other offices. Thus, he must be Executive V.P., V.P. for Academic Affairs, V.P. for Business, President, etc. If a centralized mode is chosen and all the planning support functions are under his direction, he could be as above, or in some slightly less powerful position. Regardless of which mode, the designation obviously depends a great deal upon the modus operandi of the president and his chief aides, as well as the power structure therein contained.

This problem of centralization vs. decentralization must ultimately be solved at the individual institutions. It should be helpful, however, to consider some of the advantages of centralization and decentralization.

Advantages of centralization planning organization:

1. Visibility, power, and prestige are provided to the chief planning officers.
2. Uniformity of planning policies, practices, and decisions are fostered.
3. Full utilization of the main planning department specialist is promoted, due in large part to their proximity to the top management level.
4. Highly qualified planning specialists can be utilized because the scope and volume of their work are sufficient to support and to challenge top-notch planners.
5. Duplication of planning functions is maintained at a minimum.
6. The danger of planning actions drifting and getting off course is minimized.
7. Elaborate and extensive controlling procedures and practices are not required.
8. Planning responsibilities are easily defined.
9. There is an aura of efficiency associated with a centralized operation.
10. A strong coordinated top-management planning team is developed.

Advantages of a decentralization planning organization.

1. A decentralized planning organization structure stresses delegation of authority and relieves the top administrators load.
2. The development of "generalists" rather than specialists is encouraged thereby facilitating succession into positions of higher management.
3. Intimate personal ties and relationships are promoted resulting in greater employee enthusiasm and coordination.

4. **Plans can be tried out on an experimental basis in one area of the university, modified, and proven before being applied to the entire university.**
5. There is stimulation of independent thinking, creativity and promotes the freedom to make decisions.
6. The planning process can be accelerated — less "red tape!"

After consideration of the advantages, a centralized or decentralized planning organization (office) and a critique of internal and external factors, the president should be in a position to set the stage for an appropriate planning organization (office). The president's decision as to the scope and role of planning will determine how planning is to occur in departments, branch campuses, and throughout the institution. Although, it is not the purpose of this manual to tell the president precisely how to organize his planning organization (office), the following recommendation is offered. **The president should assign a vice president (for example, academic, financial or planning) to coordinate and/or direct the planning of the university. In some institutions the president himself may want to accept this responsibility. A central planning budget should be allocated with appropriate planning personnel and support. Other key administrators, for example, other vice presidents and college deans should be assigned appropriate planning responsibility. After the foregoing responsibilities are assigned, a planning organization should be documented, communicated throughout the university and updated on a regular basis.**

One can readily see that the gist of the foregoing recommendation is that planning function in the State of Ohio should utilize the favorable features of both centralization and decentralization. In the final analysis the "best" planning organization is the one that produces workable and effective plans for a particular educational institution.

In conclusion, it is **recommended that the university presidents document that their institutions do in fact have a well organized planning operation or if not that they take vigorous action to remedy this deficiency.**

PARTICIPATION IN PLANNING

If planning is to succeed, there must be participation and a commitment to the process. In many cases, participation and commitment go hand-in-hand.

As previously stated, before meaningful planning can begin there must be enthusiasm and a commitment of the president and other top administrators.

The MIP Inventory of Current Planning Practices reveals that almost all of the state universities make use of a wide range of committees and encourage a great deal of involvement in the planning process.

Because of a number of factors, including a wide range of committees, it is almost impossible to specify who should be involved in every planning effort. Rather, each university must decide the question of involvement on an individual basis. **It is recommended, however, that the determination of involvement should be made on a systematic basis for every plan developed.**

Figure 11 might be used as a guideline in determining the question of involvement.

Figure 11

GUIDELINES IN DETERMINING THE QUESTION OF INVOLVEMENT

Name of Plan ____________________

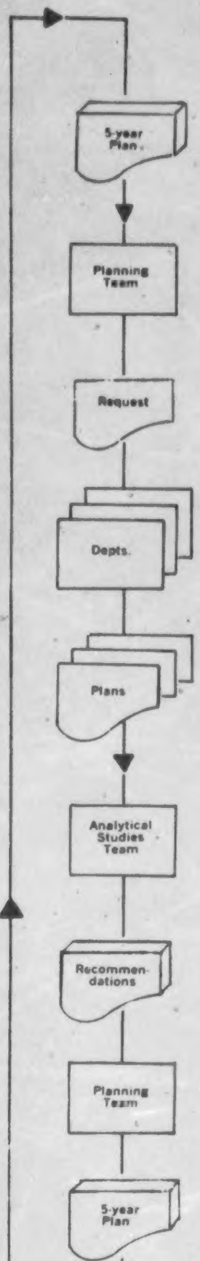
	Major Groups affected by Plan	Is this group affected? Yes or No	If no, why not? If yes, how?	If yes, who should represent this group?	How can they participate?	What will be their responsibilities & authority?
1. Central Planning Staff						
2. Top Administrators						
3. Other Administrators						
4. Middle Manager — deans, division heads, etc.						
5. Faculty						
6. Alumni						
7. Townspeople						
8. Other citizens						
9. Board of Trustees						
0. OBR						
1. Students						
2. Non academic personnel						
OTHERS						
3.						
4.						

Figure 11 can be useful as a guideline to determine the extent of participation. However, the political power bases of individuals and organizations should also be recognized and evaluated. This subject is too complicated to be dealt with fully in this manual, nor is it appropriate. However, it should be recognized that on every campus and indeed within every organization, there is a power base. That is, there are individuals who must approve of something before it can be adopted and implemented. For example, it would be doubtful that an institution could successfully develop an academic plan without involving the faculty senate or similar body. Another example would be that an institution could not approve a new Ph.D. program without the approval of the Ohio Board of Regents.

Whatever and whoever the power bases, special efforts should be exerted to inform and involve these groups. One should be careful, however, in overlooking what might not appear to be a power base, e.g., students.

The issue of participation is the concluding issue of factors involved in organizing the planning function. It is by no means implied that the factors we have discussed in the chapter are all inclusive. However, it is believed that the issues discussed and the recommendation made will provide a focal point for the president to formally organize or improve the planning function at his institution.

PLANNING PROCESS (Simplified Flow Chart)



1. The cycle begins with an existing long-range plan, or if no plan is extant, it begins with preparation of basic planning assumptions. (See items 1 through 7 of sample planning and budgeting calendar.)

2. The planning team reviews the existing plan, prepares basic planning assumptions, and initiates the process by requesting academic and administrative departments to prepare plans. (See items 1 through 7 of sample planning and budgeting calendar.)

3. Using information they receive in the basic planning assumptions, first academic and then support departments prepare five-year department plans and budgets. (See items 8 through 12 of sample planning and budgeting calendar.)

4. After being reviewed by the planning team, departmental plans, together with revenue estimates, staffing tables, and enrollment projections, are given to the analytical studies team, which will evaluate consistency, compatibility, and economic feasibility, and then recommend modifications to the planning team. (See items 13 through 18 of sample planning and budgeting calendar.)

5. The planning team reacts to the analytical studies team's proposals, prepares final planning and budget documents, and forwards them to members of the governing board for review and approval. (See items 19 through 21 of sample planning and budgeting calendar.)

6. Following governing board approval, the finished plan is published and will become the starting place for the next annual planning cycle (item 1 above). (See item 22 of sample planning and budgeting calendar.)

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), p. 7.

EXAMPLE OF A COLLEGE PLAN WHICH ADDRESSES THE INSTRUCTIONAL PROGRAM, RESEARCH PROGRAM, AND PUBLIC SERVICE PROGRAM

Name of Unit: College of Agriculture

Name of Respondent(s): Dean Homer Bean

Telephone No:

Goals:

1. Provide training and intellectual development opportunities for youth seeking careers in agriculture. Offer degree programs: 2-year degree in Agriculture Technology, baccalaureate degree in Agricultural Science, and graduate degree in Agricultural Research and Development.
2. Maintain a research program to support the continued effectiveness of the instructional activities of the college and to identify and support new developments in the agricultural sciences.
3. Provide consultation, continuing education, and technical assistance to regional agricultural agencies and area farmers.
4. Become the best College of Agriculture in the nation.

Unit Programs

Program Name: Technical Education—Agricultural Technology—2 yr. degree

Name of Respondent: Dean Homer Bean

Describe the program and indicate the needs being filled by it.

This two-year associate degree program consists of 70% technical and science courses offered by the faculty of the College and 30% humanities and social science courses provided on a service basis by the Divisions of Humanities and Social Sciences. Technical course offerings in the areas of Dairy and Farm Management, Research Technology, Agricultural Chemistry, Nutrition, Plant Regulation, etc. are offered.

This program meets the needs of area youth for an education midway between high school and a full-scale baccalaureate degree. Graduates of the program pursue careers like: management of the family farm; research technicians at the regional U.S. research office, industrial research firms; and other technical specialist roles for regional agricultural agencies.

Program plans call for doubling of enrollment and staff over next 5 years (See Table I). A task force review of the curriculum during 72-73 may lead to program modifications in 73-75, 75-77. Laboratory and classroom space is requested for 75-77.

Program Name: Baccalaureate Professional—B.S. in Agricultural Sciences

Name of Respondent: Dean Homer Bean

Describe the program and indicate the needs being filled by it.

This five-year baccalaureate degree program consists of 50% technical, management, and agricultural science courses, 25% internships in the College's research program and local industrial firms, and 25% course work in general education courses taught by the Divisions of Humanities and Social Sciences. Graduates are trained to be the working leaders in the agricultural and industrial food processing fields. Graduates are expected to take managerial positions at large industrially managed food and animal farms, become product development and process experts at seed and food processing organizations, and top level administrators in regional and national agricultural agencies. Graduates fill needs for sophisticated and future oriented leadership in a field that has changed from a family farm to a large scale organization-based industry.

No increase in staff and enrollment is anticipated for 71-77 (See Table I). Review of Internship program is planned for 72-73 which may lead to program modification in 73-74.

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 81-82.

EXAMPLES OF PLANS

Internships and instruction are coordinated with college's research program. Efforts to improve instruction are planned for 73-75, 75-77.

Program Name: Doctoral Program in Agricultural Research and Development

Name of Respondent: Dean Homer Bean

Describe the program and indicate the needs being filled by it.

This doctoral program has a research and development emphasis. It is designed to train expert researchers interested in identification and development of new agricultural directions. As a research degree, students spend 75% of their time on ongoing research programs and 25% time in seminar and reading activities. The world is faced with population increase and scarcity of existent food sources. Graduates will join organizations seeking to solve these problems.

Program anticipates doubling enrollment 71-77 and addition of 2 faculty positions (See Table I). New course offerings in Marine Agriculture are anticipated during 73-75. Interaction between course offerings of this program and research program is extensive.

Program Name: Research

Name of Respondent:

Describe the program and indicate the needs being filled by it.

Research programs on pesticides, plant growth regulation, crop yield analysis hybrid development, and breeding processes are major areas of emphasis. Four hundred thousand square feet of laboratory space, animal barns, and equipment storage space are maintained to support the research program. Eight hundred acres of prime farm land are used for experimental studies. An additional eight thousand acres of local farm land are used for experimentation in cooperation with local farm owners. A staff of 10 senior researchers, 25 technicians, and 30 laborers man this program. Programs are utilized to support lab courses in instructional programs, research vehicles for graduate students, re-education and development of the faculty, and impetus for new developments in the field.

Program is 70% funded by outside sources and will continue current direction through 71-73. Addition of a new program in Marine Agriculture is anticipated for 73-75. Increases in staff (See Table I) and facilities (N47 laboratory and 4 new 100,000 gallon aquariums) is anticipated.

Program Name: Public Service—Agricultural Information Bureau

Name of Respondent:

Describe the program and indicate the needs being filled by it.

The College maintains an Agricultural Information Bureau staffed by a director, a secretary, and three part-time senior research consultants. Literature and technical advice is available to area farmers on a wide range of the practical aspects of farming. Open hours are advertised to community via radio, television, and newspaper. This service provides a setting for area farmers to socialize and share ideas and problems.

Service in this program will be maintained at current levels 71-77. No additional resource needs anticipated.

PLANNING PROCESS GUIDELINES FOR COLLEGES AND DEPARTMENTS

University units should determine the planning process and the nature of participation to be utilized in developing unit plans. Units are encouraged to make the planning process as thorough and comprehensive as possible, and provide for the maximum possible involvement of people at all levels in the organization.

The following are suggestions for steps in a planning process leading to the creation of unit plans. Whatever planning process a unit chooses, as a minimum, consideration should be given to the questions outlined below and such other questions as may be important to the unit.

1. At each level appoint one or more individuals to coordinate the creation of plans. (Subdivide up to and including College).
2. Begin with a review of current activities within the unit. Consider such questions as:
    a) What are we doing now?
    b) What needs is our unit filling (for members of our unit, within the university, and for the community)? How do we determine what needs to fill?
    c) Which of our needs do other units fulfill?
    d) What resources do we have and how are we using them?
    e) What are our major strengths and weaknesses?
    f) What criteria and measures do we use to determine the effectiveness of our activities?
    g) What criteria and measures do we use to determine quality of teaching and learning?
    h) What priorities do we assign to our activities?
3. Anticipate future activities within the unit. Include:
    a) How will these needs change in the future? (e.g., shifts in enrollment patterns and job markets; changing professional standards and requirements; expectations of your constituencies; changes in characteristics of student body; educational processes.) How will we determine these changes?
    b) Are current resources appropriate to fill future needs? (e.g., space, equipment, manpower, finances.) What modifications of resources will be required?
    c) What different educational methods and approaches should be instituted? (e.g., instructional techniques, research, counseling, service commitments, community involvement.)
    d) What current activities should be deleted or strengthened and which new ones initiated?
    e) What criteria and measures should be adopted for determining the effectiveness of present or future activities?
    f) Should we alter our present priorities and how?
    g) How will our future plans modify the present structure of our unit (e.g., table of organization, decision-making procedures, committee structures?
4. Proceed next to the process of developing specific plans. The length and specificity of plans will necessarily vary but should be specific enough to allow those unfamiliar with your activities to clearly understand them.

    As preliminary plans are being developed, you should continue to consider their relationship to the following:
    a) How do the plans and programs relate to the needs of students (e.g., sensitization of students to the future)?
    b) How do these plans and programs relate to the needs of faculty (e.g., faculty development)?
    c) How do the plans and programs relate to the needs of our discipline?
    d) How do they relate to the needs of other university units?
    e) How do they relate to university efforts to involve increasing numbers of minorities and women in the university community?
    f) How do they relate to the needs of the community?
    g) How do they relate to the overall university mission?
    h) Other ....
5. Consideration of the relationships in 4 above may lead you to further discussions with other units and to some alteration or modification of the plans. After appropriate consideration of these issues the plans should be finalized.

Source: Ohio Board of Regents, *Planning/Two-Year Colleges* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 68.

Ohio University Planning Process Materials

The following materials were developed at Ohio University for the implementation stage of their planning process. A more detailed discussion of the Ohio University experiences with planning as well as additional materials can be found in the document *Implementing a Planning Process: Three Case Studies.* Similarly, the experiences of Willamette University and Lorain County (Ohio) Community College in implementing a planning process are also contained in that document.

Included here are:

1. Review and evaluation of planning-unit proposals
2. Guidelines for task forces established to review planning-unit proposals
3. Current status of the planning process
4. A description of the staff planning process

OHIO UNIVERSITY

Inter-Office Communication

DATE April 11, 1979

TO Alden Dalzell, Planning Unit Officer, Information Systems

FROM James L. Bruning, Vice Provost for Planning & Program Development

SUBJECT Feedback regarding UPAC funding recommendations

The following briefly summarizes UPAC reactions to the proposals from your unit which were not recommended for funding. The summary statements are brief and if you have additional questions, please feel free to contact me.

To the extent possible, decisions by UPAC were made within the context of the Educational Plan and based on the evaluation criteria which were distributed and discussed at the October meetings held for Planning Units. In summary form, these criteria emphasized: 1) Improving our ability to recruit and retain high quality students, 2) Increasing the quality of scholarship, education and campus life, 3) Increasing income or reducing costs, 4) Insuring that there will be long range benefits, and, 5) Encouraging cooperation and improved resource utilization among planning units.

Planning Unit: Information Systems

Proposal	Comments
Proposal #2 "Tape 4 Tracking System"	-was recommended to UPAC for continuing consideration. However, in the evaluation process, UPAC did not consider this request to be of high enough priority to warrant funding. No particular negative comments were made regarding this proposal.
Proposal #3 Research Assistant	-was given special consideration by UPAC based on additional information provided by the staff of Information Systems. However, at the conclusion of the evaluation process, the proposal did not rank high enough to fit within the limitations of funding.
Proposal #8 BASIC	-was discussed by UPAC but received little supporting discussion. By the same token there were no negative comments. Final vote showed the proposal ranking too low to qualify for available funds.

Proposal	Comments
Proposal #9 Graphic hard copy	-was recommended for further consideration; however, it did not receive sufficient UPAC support to qualify for funding. There was no negative discussion by the UPAC, but simply a consideration of the priority of the proposal in relation to others.
Proposal #10 Communications Test Equipment	-was also recommended for further consideration by UPAC but did not rank high enough to receive support.

In sum, the proposals from Information Systems were well written and documented.. The only reason for not supporting each of them was the limit on pool funds available for distribution.

JB/jc

OHIO UNIVERSITY

Inter-Office Communication

DATE April 30, 1979

TO Herschel McNabb, Planning Unit Officer, Business Administration

FROM James L. Bruning, Vice Provost for Planning & Program Development

SUBJECT UPAC review and evaluation of 1978-79 pool expenditures

The University Planning Advisory Council will very shortly be evaluating the expenditures by units of pool funds awarded during last year's planning process. According to our records, your unit received the following funds from UPAC for expenditure during 1978-79:

Amount	Proposed Utilization of Funds
$ 1,250	Minority Tutorial
19,500	Marketing Position
$20,750	

Please supply the requested information to my office before Friday, May 11.* UPAC will begin evaluation of the 1978-79 pool expenditures during the week of May 14. The summary report of their reactions will be filed for use next year in determining the degree to which particular planning units expended pool funds in accordance with their original proposal(s).

*Use a separate sheet for each award.

Pool I, Pool II and Extraordinary Inflation

UPAC Evaluation Report
1978-79 Allocations
(Upper portion to be completed by the Planning Unit)

Planning Unit: College of Business Administration

Type of Award: Pool I____ Pool II x Extraordinary Inflation____

Amount of Award: $ 1,250 Amount Requested: $ 2,500

1. General summary of actual expenditures of the above award:

   The Department of Accounting & Quantitative Methods has a tutoring program which meets from 4-6 and 7-9 p.m. on Mondays, Tuesdays, Wednesdays, and Thursdays (every week during the quarter) for both Accounting 101-102 and Quantitative Methods 200-201.

2. Extent to which unit's resources were used to supplement the above expenditures:

   In addition to the use of our GAs (12 GA quarters) for tutoring, we spent about $1200-$1500 in student wages for tutoring.

3. Objectives of the proposal:

   To tutor all students, but to encourage minority groups, in particular, to use the service. Of course, students still have the right and privilege to utilize their instructors. In addition, we have selected a few of the most difficult cases for private tutoring by our student assistants.

4. Your statement regarding degree to which you feel the objectives have been met:

   Many black students are performing poorly in Accounting and Q.M. classes. We should be tripling our efforts, but, because student wages have been increasing from $2.30, then to $2.65, and next year to $2.90, fewer hours will be available. To make matters worse, we will have fewer graduate assistants, so the outlook is bleak, indeed.

UPAC evaluation regarding degree to which proposal objectives were met:

Pool I, Pool II and Extraordinary Inflation

UPAC Evaluation Report
1978-79 Allocations
(Upper portion to be completed by the Planning Unit)

Planning Unit: College of Business Administration

Type of Award: Pool I ___ Pool II x Extraordinary Inflation ___

Amount of Award: $ 19,500 Amount Requested: $ 19,500

1. General summary of actual expenditures of the above award:

   Employment of J. Daniel Lindley as Asst. Prof. of Marketing in the Department of Administrative Sciences-Academic Year Salary of $18,900.

2. Extent to which unit's resources were used to supplement the above expenditures:

   $3,525 to cover payroll benefits and moving expense.

3. Objectives of the proposal:

   1. To attract more (qualified) students to study at Ohio University.
   2. To more ably service the large numbers of Marketing majors, business students, and non-business students who are seeking careers in Marketing.

4. Your statement regarding degree to which you feel the objectives have been met:

   Enrollments in Marketing increased from 1502 in the 1977-78 academic year to 1836 in 1978-79, a percentage growth of 22.2%. Even with the added six sections taught by Professor Lindley, the average enrollment per section only declined from 57.8 students to 55.6. The addition of Professor Lindley is a definite plus in attracting students to Ohio University, but both objectives suffer from large class-sizes.

UPAC evaluation regarding degree to which proposal objectives were met:

OHIO UNIVERSITY

TASK FORCE GUIDELINES

September - December

Each of the initial meetings (probably in October) will involve task force members, the head of the planning unit, the unit planning officer and the Vice Provost for Planning. At these meetings:

A. Information regarding the decision process used last year will be given.

B. A discussion of the relationship between the task force groups and the planning units will take place. This discussion will include:

1. The overall planning schedule (deadlines, etc.)
2. The review procedures for evaluation of 1978-79 Pool I and Pool II expenditures.
3. The preparation format and evaluation guidelines for 1979-80 Pool I, Pool II and Extraordinary Inflation proposals.

Task force members will not become involved in proposal preparation or assumption of responsibility for proposal submission. Members also will not serve as an advocate for the particular units contacted.

December - January

Units will prepare streamlined planning information. This information will include:

A. Summary of major program objectives for 1979-80; 1980-81 and 1981-82.

B. Pool I, Pool II and Extraordinary Inflation proposals.

C. Budget data as needed for planning.

Task force members may be requested to seek additional information from Planning Units if a proposal appears to have merit, but is unclear or incomplete.

Task force members will be expected to summarize UPAC discussions regarding proposals so that feedback can be provided to each unit. These notes will be kept on file by the Vice Provost for Planning.

May

Meet with planning units to conduct final evaluation of 1978-79 Pool I and Pool II expenditures. While task force members should avoid involving themselves in the internal management of the units they contact, it is quite appropriate for them to inquire as to the extent units have re-allocated their existing resources to give additional support for the Pool I and Pool II proposals. The brief one to two page written report will be submitted to the UPAC, discussed and placed on file for use in future discussions.

OHIO UNIVERSITY

Current Status of the Planning Process

I. Environmental Statements (Completed - February 1977) - These consist of five research reports which describe the major environmental factors influencing Ohio University during the next decade. Areas discussed are:

- A. Major educational trends
- B. Characteristics of students in higher education for the next decade
- C. Financing of higher education
- D. Employment opportunities for college graduates
- E. Recommendations for higher education

II. The Educational Plan (Completed - October 1977) - The Educational Plan as reflected in "A", "B", and "C" below serves as the general guide to the planning activity of the University.

- A. Mission Statement - affirms the general roles and missions of the University.
- B. Goals Statement - the goals are grouped into nine perspectives of the University.
  1. Liberal and Fine Arts
  2. Graduate and Professional Education
  3. Science and Technology
  4. Health & Human Services
  5. Lifelong Learning and Regional Higher Education
  6. Residence Life and Services
  7. Academic Support
  8. General Administration
  9. Student Services
- C. President's Address - President Ping's 1977 Convocation address consolidates the goal statements into the following six commitments:
  1. To the idea of a University and to being a residential college community.
  2. To quality and to the making of judgements.
  3. To intellectual community; to the interaction and integration of knowledge.
  4. To international community; to education for interdependence.
  5. To lifelong learning; to the creation of a broad community of learners.
  6. To educational justice; to being a just and socially responsible community.

III. Supporting Plans - These are areas which require (or may require) special study in order to provide adequate guidance to on-going program planning. One example is the residence hall plan for State purchase of dormitories.

IV. Program Planning Process as originally conceived:

A. Planning unit and program based
B. Comprehensive and University wide
C. Coordinated through the Provost's Office
D. Involves a broad-based advisory body (UPAC) in major decisions
E. Encourages commitments to priorities by units
F. Goals and objectives of the 20 planning units are to achieve this commitment to priorities (Goals and objectives completed - November 1978)

V. Weaknesses in the Process

A. Parameters and guidelines to direct the planning process have not been established clearly.
B. The goals and objectives developed by the 20 units for 1978-81 tended to:

1. Be short term rather than long term.
2. Not focused or based on clear priority decisions within the unit.
3. Be fund requests from sub-units rather than reflections or priorities determined in relation to the entire unit, or, the University as a whole.

C. Units received little feedback regarding the appropriateness of either goals and objectives, or, proposed requests.

VI. Summary of Planning Process as Implemented During 1978-79

A. The planning process during 1978-79 (for 1979-80) has been implemented as follows:

1. Units will be offered the opportunity to update their 1978-81 goals and objectives.
2. Proposals from planning units for Pool I, Pool II and Extraordinary Inflation funds will be received during January 1979. The procedures for preparation and evaluation were outlined at the meetings held between the Vice Provost for Planning, Task Force members and Unit Planning Officers. (Meetings held October 12, 1978)
3. During February, UPAC will evaluate proposals in relation to the criteria distributed. Evaluations of current-year Pool I and Pool II expenditures will take place in May.

B. Improvements in the planning process are being developed. These changes are designed to respond to the weaknesses which became apparent during the first full cycle of planning (see V above).

VII. Background - At the end of the first planning cycle, one of the major needs identified was for clearer statements of goals and objectives by the planning units, and particularly, for priority descriptions which identify those areas where resource and staff allocations will most benefit the University. Exploration of various staff planning approaches was undertaken at a planning retreat held in October. At that meeting, there was general support for development of a staffing plan which considers both enrollment demands and program needs.

The process described below is designed to include both quantitative and qualitative variables as these will influence our planning for the 1980's. It attempts to build not only on the consensus of the planning retreat but also incorporates suggestions made in response to earlier drafts of a staffing plan proposal.

VIII. Impact of Enrollment Forecasts - One of the major problems facing all institutions in the State of Ohio during the 1980's will result from a severe decline in the number of high school graduates. For Ohio University to avoid a significant enrollment decline during the next six years there will have to be an increase in the rate of college attendance among these graduates coupled with aggressive recruiting on our part. While there is general agreement that the possibility of decline in both enrollment and revenue is real, there is agreement also that special attention must be given to those types of programs and activities which can offset these trends. Program evaluation and selective enrichment are the keys to our success. To achieve these ends, it is imperative that the University adopt a process of identification of those programs and activities which do or can play a critical role in the effectiveness of the University.

IX. General Principles

A. Analysis is needed of those programs, activities and services which are most likely to contribute to the long term benefit of the University. This process must consider the enrollment generating possibilities of particular areas of study. It must also incorporate a qualitative analysis of scholarship and public service as these contribute to the academic viability of the institution. Areas of unusual and distinct quality must be identified.

In the support areas of the institution, attention must be given to those services and programs which most directly influence the quality of student life and the educational and scholarly milieu of the University. Attention must be given to those functions that contribute most significantly to the attraction of new students and the success of those who have already enrolled.

B. Analysis is needed to determine whether sufficient monies are being allocated within budget units for the purchase of equipment and supplies. During the period of decline which occurred between 1972 and 1976, most units reduced these funds substantially as a way of solving their budget deficits. Such reductions, coupled with inflation, have left many units with no funds for replacement of outdated equipment.

C. From these analyses, a unit-by-unit set of program objectives and staffing priorities must be developed to guide units in their planning activities and their regular resource allocations. These objectives and priorities must be sufficiently precise to provide the basis for decision-making and sufficiently long-range to allow lead time for implementation. At the same time, the need for flexibility and change must be included. Regular review, modification and refinement must be made an integral aspect of the process.

X. Implementation - Stage I: Development of Preliminary Statements of Program Objectives and Staffing Plans.

A. This stage will be coordinated by the Provost's Office, but the critical analyses will rest with the planning units. Each planning unit will be provided data describing current enrollment and staffing levels as well as data which project for 1985 the varying impact on each unit of a University-wide six to eight percent decline. (Note: it is not expected that the projections for each unit will necessarily show a decline.) Projections for academic units will incorporate data routinely used for enrollment projections together with Ohio Board of Regents models for staffing levels. Support units will be provided projection information using data from the Ohio Board of Regents as well as data developed by Ohio University's Office of Analytical Research.

B. Following receipt of its projection information, each planning unit will begin analysis of its programs, activities or services to identify those which hold most promise for increasing enrollment or retention of quality students, and, are of greatest importance to the educational and scholarly mission of the institution. Heads of support units will also form an evaluation of those activities and services which contribute most importantly to the life of the institution. As part of this analysis, units will also be expected to develop strategies for increasing funds available for purchase of supplies and equipment. Periodic meetings will be scheduled between the heads of the Planning Units, and the Vice Provost for Planning and the UPAC Task Force members to discuss issues and problems encountered in the process of analysis, discuss the priorities established by the Unit, exchange information regarding educational trends and societal demands and discuss tentative conclusions drawn as a result of the analyses.

C. After these discussions with the Vice Provost and the Task Force members, each planning unit will begin preparation of a statement of program objectives together with a staffing plan which will serve as a best estimate of program directions and emphases during the next six years (1985). For this initial phase of planning, each unit will assume changes in its staffing level as projected from data provided by the Provost's Office. Units wishing to submit supplemental staffing plans which include more personnel than projected must support their plans with clear commitments to additional enrollment growth or convincing documentation that maintenance of a critical activity or outstanding program contributes significantly to the overall viability of the University.

D. The unit statements of goals and priorities, together with a general staffing plan, will then be submitted to the Vice Provost for Planning. A formal critique and evaluation of the statements will be undertaken by the UPAC. Following their review and recommendations, a final report will be prepared by the Vice Provost for Planning which will incorporate the critiques and evaluations by UPAC, and, summarize their recommendations regarding program thrusts and staffing levels of the institution for the next six year period (1985). (Target date for completion of Stage I - June 1979)

XI. Implementation - Stage II: Discussions with the Provost

Upon receipt of the summary report and the individual unit goals, objectives and staffing plans, the Provost will meet with each planning unit head to discuss in greater detail the application of the goals, priorities and staffing plans to the planning process within his/her unit. Adjustments to the initial staffing projections will be considered. Special attention will be given to those activities and programmatic thrusts proposed in the supplemental staffing plans which appear to have a high probability of countering projected declines in enrollment, or, which are vital to the well-being of the institution.

The final outcome of these meetings will be a mutual understanding between the Provost and the unit head regarding program directions, emphases and staffing changes through 1985. Necessary adjustments will be made in each unit's statement of goals, objectives and staffing plan so that it can accurately serve as the basis for planning activity and resource allocation decisions. (Target date for completion of Stage II - October 1979)

XII. Implementation - Stage III - Utilization of Planning Documents

The statements on program objectives together with the adjusted staffing plan will be used by the planning units and the Provost to guide planning and resource decisions. It is expected that all additional planning undertaken within a unit, development of budgets, and, allocations or reallocation of unit resources will follow the unit planning document. Unit heads will be expected to justify the need for administrative, faculty and staff replacements. The Provost's Office will institute a regular review system where all vacancies are evaluated to insure maximum utilization of University personnel before positions are posted or searches authorized.

XIII. Implementation - Stage IV - Review and Revision Schedule

It is expected that this process will be an ongoing one so that regular updating of plans can occur. Due to the time commitments which such a process requires, the updating of goals, objectives and staffing plans will take place on a biennial rather than annual basis. Thus, the next University-wide update and review of goals, objectives and staffing plans will occur during 1980-81 with 1987 as the date used for projection purposes. To insure that the University community is kept informed, regular reports pertaining to the planning process will be made by the Provost.

OHIO UNIVERSITY

Inter-Office Communication

DATE May 15, 1979

TO Planning Unit Administrators

FROM James Bruning, Vice Provost for Planning & Program Development J.B.

SUBJECT Staffing Plans

Attached is the preliminary material for staff planning. The implementation of this aspect of planning is the last major component of the planning process. The results of this activity will be used to guide decisions on staffing in regular planning activity and in ongoing administrative activity.

The purpose of this project is to estimate future trends and needs and to develop a general understanding of how to respond to these needs. Staffing plans are to provide guidance to units as they face change and give direction to those involved in the university planning and resource allocation process. Staff plans are not answers nor decisions; rather, they are guides to provide assistance.

As units work on staff plans they will be asked to evaluate current resources and how they can be used to further their needs and those of the university. Consideration is to be given to faculty and staff changes such as retirements and estimated attrition but in no case will the staff planning project consider the release of tenured faculty.

There are two attachments. The first is the description of the staff planning project at Ohio University. This description incorporates relevant portions of the planning process document prepared and distributed following the special fall retreat which emphasized a need for staff planning. Members of the University Planning Advisory Council and University executive officers were involved both in discussions at the retreat and of the subsequent document.

The procedures used for forecasting enrollment and staffing levels are also presented together with the second attachment which summarizes enrollment projections, staffing projections and additional information for your particular unit. These parameters were prepared as a starting place for the process of staff planning.

The distribution of this material begins an important project in the planning process of the University. Please review this information and begin preparation for the work sessions each unit will hold with me. These work sessions are designed to assist each unit as it prepares by June of this year initial statements of goals and priorities which will be incorporated into a staffing plan.

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OHIO UNIVERSITY STAFF PLANNING

A Description of the Staff Planning Process

Office of the Provost
April, 1979

Background and General Principles

The anticipated reduction in the number of high school graduates will almost certainly have a significant effect on the colleges and universities in Ohio during the 1980's. For Ohio University to avoid a severe enrollment decline during the next six years there will have to be an increase in the rate of college attendance among these graduates coupled with aggressive recruiting on our part. While there is general agreement that the possibility of decline in both enrollment and revenue is real, there is agreement also that special attention must be given to the types of programs and activities which can offset these trends. This special attention must begin with an analysis of those programs, activities and services which are most likely to contribute to the long term benefit of the University.

Within academic areas, this process must consider not only the enrollment generating possibilities of particular programs of study, but also must incorporate a quality analysis of scholarship and public service as these contribute to the academic viability of the institution. Areas of unusual and distinct quality must be identified.

Within the support areas of the institution, attention must be given to those services and programs which most directly influence the quality of campus life and the educational and scholarly milieu of the University. Attention must be given to those functions that contribute most significantly to the attraction of new students and the success of those who have already enrolled.

Analysis is also needed to determine whether sufficient monies are being allocated within budget units for the purchase of equipment and supplies. During the period of decline which occurred between 1972 and 1976, most units reduced these funds substantially as a way of solving budget difficulties. Such reductions, coupled with inflation, have left many units severely limited funds for replacement of outdated equipment.

From these analyses, unit-by-unit program objectives and staffing priorities must be developed to guide units in their planning activities and their regular resource allocations. These objectives and priorities must be sufficiently precise to provide the basis for decision-making and sufficiently long-range to allow lead time for implementation. At the same time, the need for flexibility and change must be included. Regular review, modification and refinement must be made an integral aspect of the process.

The forecasts presented below represent an initial set of enrollment and staffing projections which will be used as a basis for discussions with planning units regarding their program objectives, planning activities and staffing priorities. As indicated above, activities and programs of special quality and importance must be identified and enhanced. Ohio University is a comprehensive university and to the extent possible, the diversity and breadth of opportunities available to students must be maintained.

Procedure for Forecasting Staffing Levels

The description of the methods used for projection of enrollments and staffing are detailed below. One of the major problems which arises in any set of projections is in determining the most appropriate base to use for comparison purposes. One source of comparison data is the system-wide workload standards contained in the Regents' models. These system-wide models, however, are based on an average of not only residential universities, but also, branch campuses, technical colleges and urban universities. Although the four residential state universities (Ohio University, Miami University, Bowling Green University, Kent State University) differ in complexity and comprehensiveness, they clearly are more similar in overall structure and educational mission than the full range of institutions which are reflected in the system-wide models. Consequently, it was determined that the residential institutions would provide the most appropriate comparison data for use in staffing projections. As is the case in any analyses of this type, the data are more complete in some areas than others. For example, the data available for the academic areas are much more complete and detailed than those for the support and service areas. It is only recently that any comparable data have been made available for the Ohio Board of Regents regarding operations and plant maintenance expenditures. These data, however, still lack the detail necessary for staffing level comparison. For other support and service units, even less comparable information is available due to extreme variations in administrative organization, structure and complexity at the several institutions. Consequently, the initial staffing analyses and projections for these areas will largely reflect the average effects of enrollment changes anticipated by 1984-85.

Procedures for Forecasting Enrollments

Based on carefully developed forecasting techniques, it is anticipated that by 1984-85, the overall reduction in main campus headcount enrollments will range from approximately 4% to 9%. (Note: the projected FTE enrollment decline is slightly larger.) This variation or range results from differing assumptions regarding Ohio University's ability to attract students in competition with other institutions in Ohio. The actual changes in enrollments by 1985 will be, in large measure, a function of the ability of planning units to carefully assign staff and other resources so that quality programs which are attractive to students can be offered.

The headcount enrollment forecasts on which the staffing projections are based reflect two sets of assumptions. The primary projections represent forecasts that assume the recent patterns of improved student retention and improved market penetration into various population pools will persist until 1985. The conservative set of projections recognizes the increasingly intense competition for a shrinking pool of potential students and a return to retention rates and high school participation rates that were our actual experience during 1975 and 1976.

To determine the impact of changes in headcount enrollments for various student majors, these headcounts were converted into course enrollment patterns. The patterns of student course enrollments were determined by the use of the departmental profiles produced by the Induced Course Load Matrix (ICLM). The headcount projections for each fall period through 1984 were applied to the Fall 1978 ICLM to produce the induced credit hour patterns by department. Credit hour forecasts were then aggregated by college to compensate for forecast variations associated with small units. These college credit hour projections were then converted to FTE student enrollments.

Procedure for Development of Staffing Needs:

The translation of student credit hour loads into staffing needs by college was accomplished by using the average student faculty ratios by course level for the four residential state universities (Ohio University, Miami University, Bowling Green University, Kent State University). Use of this technique resulted in an overall reduction in the academic areas of approximately 5% for the primary and 9% for the conservative projections.

For service and support areas, reduction of administrative and civil service personnel were set at 6% and 8% to reflect staffing needs for the primary and conservative University-wide enrollment projections. These percentages represent values closer to the overall average staffing reduction since the comparison data are not sufficiently precise to accurately project more extreme primary and conservative possibilities.

Development of Actual Staffing Projections:

For all of the service and support areas, the primary and conservative projections are set at 6% and 8%. While it is recognized that this uniform reduction makes no attempt to differentiate among the staffing needs of particular units, the lack of satisfactory comparative data makes such differentiation impossible. A good example of the problem is reflected in the information relating to plant operations and maintenance. Regents' data indicates that in comparison with the other residential campuses, the expenditures per square foot of space at Ohio University are well below average. If, however, the comparison of expenditures is made in relation to numbers of FTE students, the support provided at Ohio University is well above average. Further analysis revealed that this seeming inconsistency is due to Ohio University having more square feet of space than the enrollment can justify. These types of apparent inconsistencies, coupled with a lack of comparable information, point up the need to treat the projections as a starting point for discussions regarding the special program needs and goals of the planning units.

Staffing projections for the academic units involved a more complex set of calculations. First, current staffing levels for each college were compared to the average of the four residential universities. Deviations from the four university average were adjusted toward the average by a factor of one-half. This method allowed for a partial adjustment of the significant enrollment shifts which have occurred during recent years. By making the adjustment one-half of the deviation, 1) more gradual shifts in staffing can be achieved and dramatic, cyclical increases and decreases in staffing levels avoided, 2) greater recognition can be given to program needs both within and between colleges, and, 3) allowance is made for shifts in pattern of student interest and enrollment. Following this initial adjustment, primary and conservative staffing projections were made for each college and the resulting changes in staffing needs calculated. These changes are projected over a six year (three biennium) period. The final staffing level thus reflects one-half of the current deviation from the four university average plus all of the staffing changes. In all of the staffing computations, the contributions of TA's to the FTE teaching capability of a planning unit were assumed to be TA FTE divided by two. While the actual teaching contribution made by TA's varies from department to department the TA FTE/2 formulation closely corresponds to college-wide average contributions made by TA's. As in the case of service and support areas, administrative and civil service reductions in academic units for the primary and conservative projections were set at 6% and 8%.

The "additional information" is presented to inform unit heads regarding the number of vacancies which can be anticipated by 1984-85. "Retirements" represent the number of persons who will reach retirement age or have 30 years of service. The "turnover" calculations represent statistical projections based on the average turnover rates during the last three years.

Process of Implementing Staff Planning:

The implementation of the staff planning process will follow the procedures outlined below. As a result of conversations with the deans and other planning officers, the earlier staffing proposal was modified so that an early meeting with the Provost could be scheduled.

Implementation - Stage I: Development of Preliminary Statements of Program Objectives and Staffing Plans - This stage will be coordinated by the Provost's Office, but the critical analyses will rest with the planning units. Each planning unit will be provided data describing current enrollment and staffing levels as well as data which project for 1985 the varying impact on each unit of a University-wide four to nine percent decline. (Note: it is not expected that the projections for each unit will necessarily show a decline.) Projections for academic units will incorporate data routinely used for enrollment projections together with Ohio Board of Regents models for staffing levels. To the extent possible, support units will be provided projection information using data from the Ohio Board of Regents as well as data developed by Ohio University's Office of Analytical Research.

Upon receipt of the projection data, each planning unit will be given the opportunity to schedule an early meeting with the Provost to discuss particular unit goals, special programmatic needs, or other, non-quantifiable factors relating to the unit.

Following discussions of its projection information with the Provost, each planning unit will begin analysis of its programs, activities or services to identify those which hold most promise for increasing enrollment or retention of quality students, and, are of greatest importance to the educational and scholarly mission of the institution. Heads of support units will also form an evaluation of those activities and services which contribute most importantly to the life of the institution. As part of this analysis, units will also be expected to develop strategies for increasing funds available for purchase of supplies and equipment. Periodic meetings will be scheduled between the heads of the planning units, and the Vice Provost for Planning and the UPAC Task Force members to discuss issues and problems encountered in the process of analysis, discuss the priorities established by the unit, exchange information regarding educational trends and societal demands and discuss tentative conclusions drawn as a result of the analyses.

After these discussions with the Vice Provost and the Task Force members, each planning unit will begin preparation of a statement of program objectives together with a staffing plan which will serve as a best estimate of program directions and emphases during the next six years. For this initial phase of planning, each unit will assume changes in its staffing level is projected from data provided by the Provost's Office. Units wishing to submit supplemental staffing plans which include more personnel than projected must support their plans with clear commitments to additional enrollment growth or convincing documentation that maintenance of a critical activity or outstanding program contributes significantly to the overall viability of the University.

The unit statements of goals and priorities, together with a general staffing plan, will then be submitted to the Vice Provost for Planning. A formal critique and evaluation of the statements will be undertaken by the UPAC. Following their review and recommendations, a final report will be prepared by the Vice Provost for Planning which will incorporate the critiques and evaluations by UPAC and, summarize their recommendations regarding program thrusts and staffing levels of the institution for the next six year period (1985). (Target date for completion of Stage I - October 1979)

Implementation - Stage II: Discussions with the Provost Upon receipt of the summary report and the individual unit goals, objectives and staffing plans, the Provost will meet with each planning unit head to discuss in greater detail the application of the goals, priorities and staffing plans to the planning process within his/her unit. Adjustments to the initial staffing projections will be considered. Special attention will be given to those activities and programmatic thrusts proposed in the supplemental staffing plans which appear to have a high probability of countering projected declines in enrollment, or which are vital to the well-being of the institution.

The final outcome of these meetings will be a mutual understanding between the Provost and the unit head regarding program directions, emphases and staffing changes through 1985. Necessary adjustments will be made in each unit's statement of goals, objectives and staffing plan so that it can accurately serve as the basis for planning activity and resource allocation decisions. (Target date for completion of Stage II - December 1979)

Implementation - Stage III: Utilization of Planning Documents The statements on program objectives together with the adjusted staffing plan will be used by the planning units and the Provost to guide planning and resource decisions. It is expected that all additional planning undertaken within a unit, development of budgets, and, allocations or reallocation of unit resources will follow the unit planning document. Unit heads will be expected to justify the need for administrative, faculty and staff replacements. The Provost's Office will institute a regular review system where all vacancies are evaluated to insure maximum utilization of University personnel before positions are posted or searches authorized.

Implementation - Stage IV: Review and Revision Schedule It is expected that this process will be an ongoing one so that regular updating of plans can occur. Due to the time commitments which such a process requires, the updating of goals, objectives and staffing plans will take place on a biennial rather than annual basis. Thus, the next University-wide update and review of goals, objectives and staffing plans will occur during 1980-81 with 1987 as the date used for projection purposes. To insure that the University community is kept informed, regular reports pertaining to the planning process will be made by the Provost.

Summary Schedule for Staff Planning

Stage I - Development of preliminary statements of program objectives and staffing plans

Early May - Distribution of projected enrollment and staffing parameters.

May - June- Each planning unit will begin preparation of draft statements outlining program directions and emphases together with a staffing plan for next six years.

Summer - Periodic work sessions will be held with the Vice Provost for Planning and the appropriate task force from UPAC.

Sept.-Oct.- Units conclude their reports. Following a critique by UPAC, the Vice Provost will prepare a University report to the Provost.

Stage II - Discussions between planning unit administrators and Provost

November-December - Meetings will be held between the Provost and each unit head. Adjustments and refinements to the staffing plans will be made.

Stage III - Utilization of Staff Planning Information

The staff plans will be used by the unit head and the Provost in staffing decisions that occur on a regular basis. The UPAC will use the plans as they consider planning and budget requests. The Board of Trustees will receive briefings on the staff plans and the steps being taken to implement them.

Stage IV - Review and Revision Schedule

The staffing plan developed in 1979 will cover a six year period (1979-85). However, a full review with appropriate revision will occur during the 1980-81 year (tentatively the spring and summer of 1981). The resulting staff plans will cover a new six year period (1981-87).

Additional samples of materials to support project 2 (describing the context for planning) also appear in the document *Academic Planning: Four Institutional Case Studies* (Kieft 1978). Information that could be particularly useful is available from the following case studies:

1. West Virginia University
   - Plan of Work, Fiscal Year 1975-76, West Virginia University Council on Planning, pp. 57-58.
2. Western Washington University
   - Relationship between planning and governance, p. 81
   - Glossary of planning terms used in planning at Western Washington University, pp. 100-101
3. Villa Maria College
   - Planning outline, pp. 121-22
4. Kansas City Metropolitan Community College District
   - Curriculum approval, pp. 134-37

Step 3—Implementation and Operation

Planning Cycle

- 3-Year horizon
    - —Detailed plans for first year; less detailed plans for second and third years
    - —Less detailed years "roll-up" on an annual basis to become detailed year . . . 3 passes at each year
- Every fifth year the education plan and supporting set of assumptions are reviewed and revised

Implementation and Operation

Step 3 in developing a planning process describes the implementation and operation of the planning process. (See chapter 4 of the *Handbook* for a discussion and an example of the progression of events occurring in the planning cycle.) The reader is also directed to materials included in step 2, project 3 (planning-process description), where materials have been included on steps in the planning process, participation, and organization of the planning office (including a discussion on centralized versus decentralized planning).

Materials in this section focus on three areas:

1. Two discussions on implementing and evaluating a planning process provide a general overview of what is involved, factors to be considered, and steps that might be included
2. Timetables and calendars for planning illustrate the planning schedule that might be developed and distributed to everyone involved in the planning process
3. Sample planning forms are included for setting forth program objectives and activities that might be useful to the planning process

Excerpts from the following sources have been used in assembling the materials for this section:

Kieft, Raymond N.; Armijo, Frank; and Bucklew, Neil S. *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation.* Boulder, Colo.: National Center for Higher Education Management Systems, 1978.

National Association of College and University Business Officers [NACUBO]. *A College Planning Cycle: People Resources Process, A Practical Guide.* Washington, D.C.: NACUBO, 1975.

Ohio Board of Regents. *Planning/Universities.* Columbus, Ohio: Ohio Board of Regents, 1974.

Step 3—Implementation and Operation

Materials Included in This Section

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389 Implementation and Control
395 The Planning and Budgeting Cycle
401 Planning Cycle
402 Annual Planning Calendar
404 Ohio University—Planning Schedule for 1978-79
405 Summary Schedule for Staff Planning
406 Timetable for preparation of unit objectives, program emphases, and staffing plans
408 Planning Form II—Program Objectives and Planned Activities for 1979-80 and 1980-81
409 Planning Form III—Additional Information in Support of Program Objectives and Planned Activities
410 Planning Form IV—Organizational-Unit Program Objectives, Planned Activities and Rationale
411 Planning Form V—Organizational-Unit Issues
412 Academic Department Plan, 1975-80
413 Summary of Program Changes
414 Academic Department Program Plan
415 Academic Program Summary of Changes

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416 Academic Program: Other Resources Requirements

417 Support Program Plan

418 Summary of Support Services Plans

419 Support Services Plan—Summary of Changes

420 Ohio University—Case Study Materials

421 Instructions for Completing Planning Form I: Program Planning Unit Objectives

422 Guidelines for Development of Planning Unit Objectives

423 Guidelines for Submission of Planning Proposals and Criteria for Proposal Evaluation

432 Instructions to Planning Units and Format for Preparation of Staffing Plan Reports

Implementation and Control

Implementation

The work of planning and organizing is insufficient to get work accomplished. The plans and the organized efforts must be implemented. Implementation means putting or moving the plan into action. No tangible output is achieved until the implementation function is performed.

Among the more important factors pertinent to planning for implementation are: (1) Attitude of top administrators toward planning in the institution, (2) relations between faculty, students and administrators, (3) the period over which the implementation is to take place, and (4) the availability of money and resources to carry out the implementation plans.

The backing by top administrators is fundamental in the successful application of every plan, and it is particularly necessary for plans for implementing. The development and operations of an implementation program is conditioned by top managers' viewpoints toward members of the educational institutions. Whatever the dominant view, be it positive or negative, it will directly influence the courses of implementation action that will follow.

Conversely, in the planning for implementation, a clear picture of faculty, supporting personnel and students attitudes toward top management is of prime importance. A program of activity designed without taking into account the feelings and beliefs of all segments of the school has little chance of success. It is doubtful that all such views can be incorporated into a managerial plan of implementation, but a sincere effort must be made.

Time considerations are another basic factor of plans dealing with implementation. Normally, such plans should encompass fairly long period, because implementation is not generally achieved within several weeks or even months. Planning is time consuming and requires much patience and consistent effort. Furthermore, many members of the university community may be skeptical and not quite "sold" on the plan at its initial introduction. However, time often permits the opportunity to see the plan in action, to experience its benefits, and can enhance its chances for acceptance. In addition, plans for implementation require continuous development, they are not a now-you-do-it, now-you-don't type of activity.

Finally, the factor of the availability of funds and of staff to perform the work is usually of major significance in implementing programs. Economically, a program for implementation should pay for itself in the benefits and values gained from the program. However, many times these values are difficult to measure and the program cannot be justified economically with the same precision as perhaps programs in other areas. Likewise, trained people to implement the actuating program are of major importance and must be included

Source: Ohio Board of Regents, *Planning/Universities* (Columbus, Ohio: Ohio Board of Regents, 1974), p. 41-46.

as an important part of the implementation plan. Thus, the extent, inclusiveness and content of the implementation planning is influenced significantly by the available funds and staff.

Steps in Implementation Planning

For every plan approved and funded, it is recommended that specific responsibility be assigned for implementation. The following guidelines should provide some direction for individuals charged with the responsibility of implementation.

1. **Recognize the goals and objectives.** Make certain the goals and objectives currently being sought are compatible with efforts in other major areas and are attainable—not impractical dreams.
2. **Establish a detailed program.** This should include a step-by-step listing of all activities to take place in their prescribed sequence. Participation by employees is encouraged; their feelings and ideas regarding the program can be included in the program's formulation.
3. **Estimate the time and cost.** Completion dates should be set for each step of the program, with provisions for the unexpected. Some will require longer periods than anticipated, and others will be successfully concluded in record time. In addition, estimates should be prepared to show the amount of expenditures involved and the source of funds.
4. **Obtain approval and put the program into operation.** Approval of the implementation program can be helpful in the efforts win the backing of top managers. Initiating the program into action begins with thorough indoctrination of those being affected by it so they understand what is being undertaken and why. Employee participation, as mentioned under Step No. 2, usually helps to gain greater acceptance. Converting the idea into reality is frequently difficult, and sufficient time and flexibility in putting the program into action must be allowed.
5. **Evaluate accomplishments of program.** Implementing results are usually difficult to evaluate, but some follow-up should be made in order to (1) discover ideas and techniques for improving future programs, and (2) justify the continuance or discontinuance of the program.

Controlling (Evaluating) Programs

Planning for program evaluation is concerned with assessing performance and informing managers of comparisons between that which is being accomplished and that which should be accomplished in keeping with the master plan of goals and objectives. Usually there are many means available to determine whether an assignment is being executed as intended, but they are not readily available or timely without sufficent planning. Effective controls just don't happen; they must be planned for and given careful consideration.

Controlling is the follow-up to the other three fundamental functions of management. It helps to ensure that what is intended to be accomplished is completed, and that the various efforts are maintained in their correct interrelationships to permit adequate coordination. There can, in fact, be no controlling without previous planning, organizing and implementing.

Emphasis needs to be given to the fact that control is ultimately related to the other fundamental functions of management. The best planning includes consideration for performing the controlling function. Similarly, organizing and actuating efforts should take into account control considerations. When proper consideration is made, the control function is made less difficult and more effective.

Steps in the Control and Evaluation Process

The control process consists of several definite steps fundamental to all managerial controlling. Regardless of the program, the same basic control process applies. Three basic steps are:

1. Developing the standards or basis for control. (This is accomplished when one developes objectives.)
2. Measuring the performance.
3. Comparing performance with the standard and ascertaining the difference, if any.
4. Correcting deviation by means of remedial action.

The concept of the control process is shown graphically in Figure 6. Beginning at A, the standard or basis of control is first determined. Next B, the performance is measured. At C, comparison is then made between performance and the standard or control basis to determine whether performance is above, below, or the same as the standard or control basis. The difference between the standard and performance, D, sets the amount of correction necessary to provide satisfactory performance. The remedial action may be any of a number of possibilities, including a change in organizing or implementing, a revision of the standard, or modification in the planning.

Types of Standards

Any activity can be controlled with regard to any one or all of the following factors:

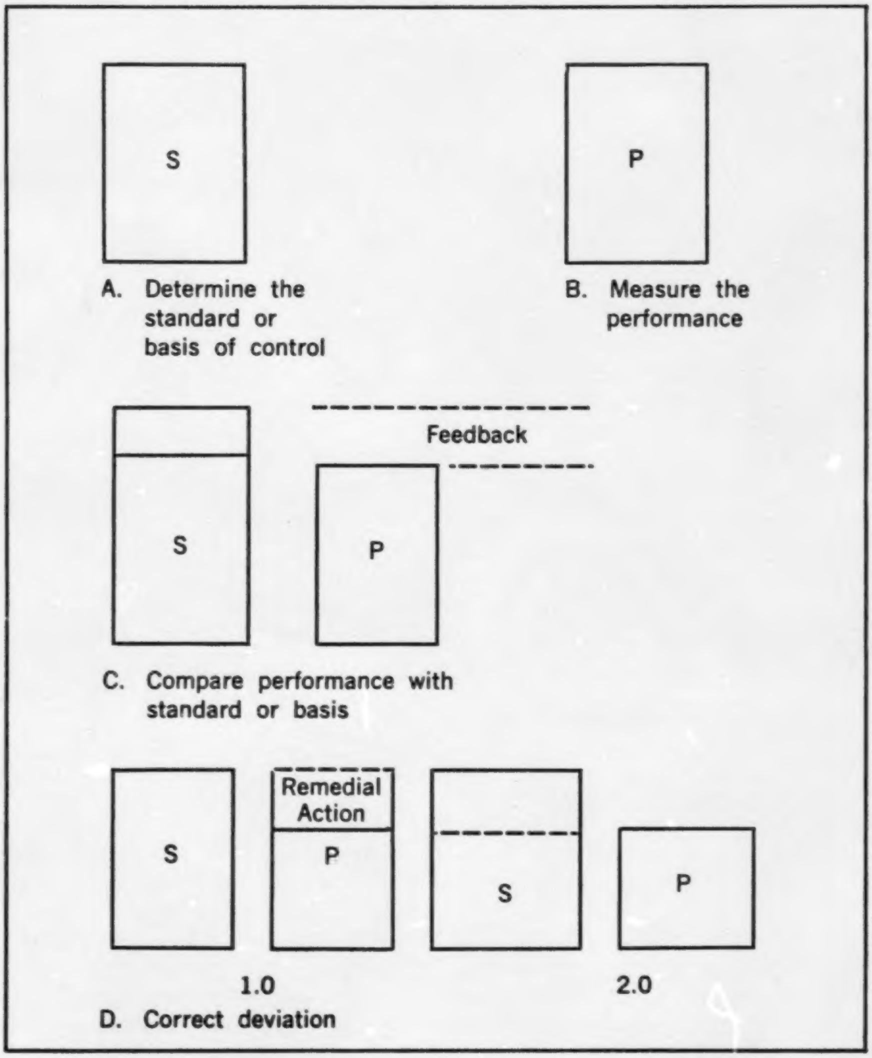
1. Quantity
2. Quality
3. Cost
4. Time

To illustrate, consider the activities of an educational institution. Quantity standards of the institution can be controlled with reference to the number of credit hours produced, the number of graduates, the ratio of faculty to students, etc. Quality standards can be used as the control factor through standardized tests, number of graduates obtaining a job or going to graduate school, the number of dropouts, accreditation agencies, educational level and experience of faculty and administrators and often predetermined measures of quality.

The costs of graduate students could be predetermined and budgeted to keep expenses within desired limits. Finally, time can almost always be employed as a standard. A timetable or schedule could be worked out for achieving certain goals and objectives at certain dates. If actual performance deviates from the scheduled times, corrective action could be applied.

Figure 6

THE CONTROL/EVALUATION PROCESS


S
P
A. Determine the standard or basis of control
B. Measure the performance
Feedback
S
P
C. Compare performance with standard or basis
S
Remedial Action
P
S
P
1.0
2.0
D. Correct deviation

Because of the overall importance and need for evaluation, **it is recommended that every plan contain a set of standards by which programs can be controlled.** Every program will differ, but standards should generally be set in the areas of personnel, space, equipment and support services. Again, factors to consider are quantity, quality, cost and time.

Standards are difficult to agree upon, particularly among administrators and faculty and other institutions. Nonetheless, standards must be established and used to evaluate what actually happened with the plan. When this step is accomplished, the planning cycle is repeated with a new look at goals and objectives.

The Planning Cycle

All evaluative analysis of programs must be conducted within the framework of avowed goals and objectives. Criteria for measuring the effectiveness of programs and specifying a direction of control can be formulated only if one knows what it is that is supposed to be accomplished through the programs. The concept of the university, an understanding of its mission, is ultimately the basis for evaluating both the form of activities and the adequacy of work performance. The evaluation stage of the planning process, therefore, brings us back to a reconsideration of goals and objectives. The planning process comes full circle. Both the foundation and the result of program evaluation are a clear and precise formulation of goals.

Evaluation of Goals and Objectives

Iteration of the various steps in the planning process may be necessary before the full implications of initial formulations of goals and objectives can be made explicit. The planning process may then become an occasion for reviewing and reappraising the understanding of goals and objectives from which the process began. The planning cycle may, at any number of points, call for a reappraisal of goals and objectives, to verify their appropriateness for the institution. Just as evaluation may initiate a feedback loop to the stage of redesigning programs which prove to be ineffective, so evaluation may also initiate a larger feedback loop to the earliest stages of the planning process, viz. to the stage of reconsidering goals and objectives which prove to be unrealistic or inappropriate. The pursuit of the planning process through all the stages that we have distinguished may prove, in fact, to be the best way to reach clarity concerning the essential goals and objectives of an enterprise.

Evaluation of the Planning Process

Evaluation should be addressed, furthermore, to the planning process itself, because that process is implemented in a given institution. Planning is itself an activity which consumes resources for the sake of achieving a purpose, in this case, the improvement of management in the university. The effectiveness of the program of institutional planning must be assessed to determine the extent to which the intended objectives are actually being achieved. The activity of conducting cost/benefit analysis of programs, for example, must itself be subjected to a cost/benefit analysis, since that activity, too, consumes resources which might be used in some other way. The effectiveness and efficiency of the planning organization, the utility of resource requirements prediction models, the reliability of enrollment and income forecasts, and the quality of decisions regarding the allocation of resources all require evaluation and control. The evaluation stage of the planning process must not neglect to cast its searching light upon itself.

In conclusion of Chapter II, we can indeed, say that good planning is a cyclical and continuous process.

3

The Planning and Budgeting Cycle

Preparation of Basic Planning Assumptions

Once a college has made the commitment to planning, and particularly to utilizing the system described herein, the first step is to review whatever existing long-range plans may be available. Such a review is to be conducted by the planning team.

A brief checklist of activities required in this part of the system is shown below. The responsible person or committee involved in each step is shown in parentheses. The checklist is necessarily summary in form, and a careful review of the accompanying text, the sample forms (Appendix A), and the calendar shown as Figure 2 above will aid complete understanding of the system.

PREPARATION OF BASIC PLANNING ASSUMPTIONS

Involves: President
Planning Assistant
Planning Team
Governing Board
Business Officer
Registrar
Development Officer
Admissions Director

Forms: 1, 2, 3, 4

Calendar: 5 months (May 1 to September 15)

______Appoint planning team (President)
______Review existing long-range plan (Planning Team)
______Propose revisions to basic planning assumptions (Planning Team)
______Secure governing board approval of revisions (President)
______Prepare revenue estimates (Business and Development Officers)
______Prepare enrollment projections (Registrar and Admissions Director)
______Prepare request for academic department plans (Planning Assistant)
______Elect or appoint members to analytical studies team (as institutional politics may dictate)

—Check List 1—

If no long-range plans exist, or if the existing plans do not contain pertinent current information, it becomes necessary to create the basic documents which will provide a philosophical and practical setting for what the institution is, what it is about, and what is likely to assist or hinder its activities. These *basic planning assumptions* must include: (1) a statement of institutional mission, (2) a statement of pertinent college policies, (3) a summary of external environmental assumptions, and (4) internal or institutional environmental assumptions. Appendix A contains samples of such documents.

Statements of mission often are prepared by committees, with the result that they are almost uniformly broad, platitudinous, and of limited usefulness. "The college views itself as a community of scholars." "The college seeks to understand the nature of things and the duty of educated men." "Their common enterprise is a pursuit of the liberal arts tradition." While there is nothing wrong with these statements, they do not adequately describe an institution. They suggest no unique characteristics for a college. They are not useful as measures to determine whether to implement new programs or eliminate old. In short, while having a substantial quality of rhetoric, they have limited application in planning decisions.

At a minimum, a statement of mission should clarify whether an institution is public or private, whether it is a college or university, what degrees are available, what constituency it serves, and any unique characteristics obtaining to itself. Ideally, it would include statements of expected results that can be measured or observed.

One of the initial challenges facing the planning team is to commission the creation of a statement of mission that represents a consensus of those involved in the operation of the institution and is at the same time simple, straightforward, and defined in terms of measurable ob-

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), pp. 9-14.

jectives. While the statement does not need to be actually written by members of the planning team, they certainly should arrange for its writing and follow through to see that it is completed.

The second of the basic planning assumptions, *college policy*, is more easily approachable. Institutions have more policies than ever have been documented. Only the most pertinent sections of existing faculty and staff handbooks, student handbooks, governing board minutes, etc., should be collected. While not intended as an inclusive list, some statements of policy covering the following areas ought to be included in the basic planning assumptions: teaching methods, calendar, the availability of student services, make-up of the student body (such as percentage of residential students), transfer student eligibility, freshman enrollment, student-faculty ratio, distribution of faculty by rank, tenure and promotion policy, average faculty teaching load, activities other than instruction, staff support policies, fringe benefits, administrative structure of the institution, economic background of the student body, balanced budget, tuition, student aid, auxiliary enterprises, research projects, public services, and any other policies having direct fiscal implications.

A judicious blend of brevity and inclusiveness must be used in preparing the statement of college policies because, together with all other parts of the basic planning assumptions, it is to be distributed widely. The third and fourth of the basic planning assumptions, *external and internal environmental factors*, represent an analysis of factors likely to affect the institution. For purposes of documenting these assumptions, it may be adequate to make simple statements about the world situation, gross national product, anticipated trends in the price level for goods and services, national attitudes toward higher education, the number of students enrolled in higher education, etc. On the other hand, specific statistical data regarding the number of persons in the regional school age population, enrollment in courses, student retention, tuition, projected fuel increases, telephone rate projections, etc., will be immediately useful to department planners.

It is important that the environmental assumptions and statistical data assembled as part of the basic planning assumptions be related closely to institutional objectives and idiosyncracies.

The cyclical nature of the planning process will require evaluation and updating of the basic planning assumptions each year. Thus, when beginning the planning process, it is probably better to err on the side of inclusion rather than exclusion of information, although there are obviously practical limits to this principle.

The statements and statistical data that constitute internal and external environmental assumptions may be prepared by the planning team as a group; individual members of the planning team; special task forces of faculty, students, and administrators; the planning assistant; or any combination of persons. The responsibility for their preparation belongs with the planning team.

The planning calendar allows five months for review and revision of basic planning assumptions to compensate for the discontinuity of summer vacations, faculty absences, etc. Most of the basic planning assumptions can be prepared in less time. A statement of goals and objectives, on the other hand, may require appointment of a select committee and a year's deliberation. If such is the case, it may be necessary to initiate the planning cycle without a statement of goals.

Once statements and data are available, the planning assistant assembles them into a usable form. It is recommended that a copy of the basic planning assumptions be sent to the governing board for consideration and review.

It may be important to recall at this point that the assumptions being made, and the projections being created, are for a fiscal year beginning approximately fifteen months in the future. Thus, basic planning assumptions being prepared in *May 1978* will anticipate the fiscal year beginning *1 July 1979*.

Preparation of Basic Planning Assumptions for Budgeting

Estimating the revenues available for a five-year future period is certainly as much an art as a science. It is important to prepare a detailed and logical forecast of the estimated economic resources which can be used to support educational programs. As conditions change, so will revenue estimates, and care must be exercised to make estimates which are as realistic and accurate as possible.

The basic technique involves the development of a set of assumptions about enrollments, tuition and fee rates, gift and grant potentials (both current funds and capital), money rates, investment performance and earnings, and legislative anticipations. Most of the calculations are simple arithmetic ones, although building in anticipated endowment additions with anticipated performance of securities markets can become complex. Again, the important point is to prepare a written, detailed statement of anticipated revenues.

Once the revenue estimates have been developed by the chief business officer and the development officer, they should be reviewed by the president and the planning team. As assumptions are altered, corrections in the forecast should be made.

Once the estimates of revenues have been approved, the budget working papers should be prepared. Statements of assumptions should be written about available revenues, new program commitments, inflationary assumptions, and general budget expectations for use in departmental planning and budget requests. Data collection forms to assist the department also should be prepared. These forms should show the staffing and the line-item budgets for the most recently completed two years and the current budget year. Of course, the planning and budgeting calendar showing key deadline dates also should be included. (See sample statements of assumptions and data collection forms following Form 1 of Appendix A.)

Preparation and Review of Academic Program Plans

A copy of planning and budget assumptions is sent to the head of each academic department with a request for the department to prepare its five-year plan. The sample planning forms in Appendix A assume the departments are the only source of departmental information. If data are not available elsewhere, academic departments must supply it.

The request for academic plans is probably drafted by the planning assistant, but it is sent out by the president. Upon receipt of the request, accompanied by the planning guidelines and appropriate forms, the department chairmen and other department members prepare a five-year department plan. Past plans should be reviewed to insure continuity as the new one is prepared.

An early draft of the department's plan should be reviewed by the academic dean for program content and interaction with other departments. New courses and programs also must be cleared through existing curriculum committees. A typical pattern of functioning using the planning system is for a course or project to be approved by a curriculum committee. Then, if there are economic implications, the project or course is submitted through the planning process for further consideration of its economic feasibility.

After the academic dean has had a chance to respond to the draft plan, the department chairman completes the necessary planning forms and returns them to the dean for formal review. Included in the departmental program plan should be a statement of department objectives, expenditure estimates, estimates of income from restricted current funds, course and project data, faculty staffing requirements, sabbatical leave plans, physical facility requirements, other resource requirements, budget documentation in detail for one year with general budget requirements for the succeeding year, and whatever other information is desired. (Cf. Forms 5, 6, 7, 8, and 9 in Appendix A.)

PREPARATION AND REVIEW OF ACADEMIC PROGRAM PLANS

Involves:	Academic Dean Planning Assistant Department Chairmen	Planning Team Department Faculty
Forms:	5, 6, 7, 8, 9	
Calendar:	2 months (September 15 to November 15)	

______Review request for program plans (Department Chairman and Faculty)
______Prepare updated department plan (Department Chairman and Faculty)
______Review department plans (Academic Dean)
______Prepare analysis and overview of total academic program (Academic Dean)
______Prepare summaries of all department plans (Planning Assistant)
______Review plans and summaries (Planning Team)
______Prepare request for support services department plans (Planning Assistant)

—Check List 2—

Upon receiving the academic department's program planning documents, the academic dean should screen them to insure accuracy and thoroughness of preparation. If corrections are required, they are returned to the academic department chairman. It is also useful for the academic dean to prepare a written analysis and overview of department plans. This overview may include comments on general, interdisciplinary, or other aspects of the academic program that the dean feels deserve explanation. Once the dean's screening has taken place, the department plans are given to the planning assistant, who accumulates the information and prepares a number of summary documents. (Cf. Forms 10, 12, 13, and 14.)

It is important to note at this point that the system as outlined is capable of generating large amounts of information, perhaps so much that it will be impossible for the analytical studies team to evaluate or use it all. Experience will dictate which forms and summaries are most useful, and others may be eliminated or requested in alternate years.

The summaries and department plans are next reviewed by the planning team for major deviations from consistency with goals and objectives and college policies, as well as for economic feasibility. The planning team probably should not veto any plan at this point, but it may elect to append notes or comments to the plans and summaries. However, if serious deviation is detected, the plans should be returned to the academic department chairman for modification as necessary.

Preparation and Review of Support Services Program Plans

The preparation of support services department plans is identical to that of academic plans, with two exceptions. First, information from the academic plan summaries is included with the basic planning assumptions sent to the support departments for consideration as they prepare their plans; thus allowing them to plan better to serve the academic programs of the institution. The second difference is in the specific data requested from support departments. The kinds of difference are indicated on sample forms in Appendix A.

PREPARATION AND REVIEW OF SUPPORT SERVICES PROGRAM PLANS

Involves: Vice Presidents, Department Heads
Planning Assistant, Planning Team

Forms: 15, 16, and 17

Calendar: 1½ months (November 15 to January 1)

_____ Review request for program plans (Department Head)
_____ Prepare updated department plan (Department Head)
_____ Review department plans (appropriate Vice President)
_____ Prepare summaries of all department plans (Planning Assistant)
_____ Review plans and summaries (Planning Team)
_____ Prepare materials for analytical studies team (Planning Assistant)

—Check List 3—

After the support department has submitted its plan, and after it has been reviewed by a vice president or appropriate line officer, it is turned over to the planning assistant, who prepares summary support program documents. Samples of these also are included in Appendix A.

The planning team then reviews the summary support program plans for major deviations and returns the document to the planning assistant, who will prepare materials for the analytical studies team.

Preparation of Staffing Tables

Implicit in the preparation of departmental plans of both academic and support services is the preparation of staffing tables. Whether or not this actually occurs at the departmental level will vary from institution to institution. Wherever it occurs, it is vital that accurate staffing information be prepared together with supporting data incorporating salary scales, likely increases, and existing and new employee benefits as found in the environmental assumptions. A consideration of persons employed in each of the five planning years is vital. How many faculty will be teaching, how many plan sabbatical or other leaves, how many faculty will be replaced, etc.? The number of replacement personnel and the number of new faculty and staff positions should be requested and approved through the planning process.

Once staffing tables have been prepared, they should be transmitted to the planning assistant for inclusion with other planning documents.

Preparation of the Preliminary Budget

The task of putting into proper format all the myriad pieces of financial data relating to the current operating budget falls to the chief budget officer. Of course, cost estimates are received from the operating departments, but these must be reviewed carefully and checked for accuracy. All new programs and expanded programs must be identified and accurate cost data developed for use by the planning team. Any programs being discontinued also must be listed and cost savings, if any, identified.

Budget formats for colleges and universities should follow the principles defined in the above-mentioned *College and University Business Administration* (1974) and in *Audits of Colleges and Universities*. Once the detailed line-item departmental expense budgets are reviewed and summarized, they should be presented to the president along with approved estimates of available revenues. The president should indicate to the chief business officer any changes desired in the preliminary budget prior to its presentation to the planning team and other senior administrators.

The preliminary budget requests, when summarized, may suggest a deficit operation or alternative program items which require additional input from the planning team. When the planning team and the president have reviewed the preliminary budget, it is ready for presentation to the analytical studies team.

Analysis of Program Plans and Preliminary Budget

Before proceeding, it may be useful to review what is supposed to have happened to this point. An existing long-range plan has been reviewed (or a new set of basic planning assumptions has been created). Academic and support service departments have been requested to prepare and submit long-range, departmental plans. Support services departments have received summaries of the academic plans in addition to the basic planning assumptions for perusal as they prepared their plans. All department plans have been reviewed by an appropriate dean or vice president and summarized by the planning assistant. Comments of the deans and vice presidents have been appended. The summaries have been reviewed by the planning team for major deviations from college goals, objectives, or policies, as well as for economic feasibility. Staffing tables reflecting both existing staff and anticipated new appointments have been prepared, and enrollment projections are available. Revenue estimates, cash flow projections, capital expenditures and a preliminary five-year budget have been prepared.

All of this has taken approximately ten months since the beginning of the cycle.

ANALYSIS OF PROGRAM PLANS AND PRELIMINARY BUDGET

Involves: Analytical Studies Team
Planning Assistant

Forms: All forms are provided to the analytical studies team for review

Calendar: 2 months (February 1 to April 1)

______Review all departmental plans and summaries (Analytical Studies Team)
______Review preliminary budget, projections, etc. (Analytical Studies Team)
______Determine potential conflicts between programs and policies (Analytical Studies Team)
______Prepare modifications, recommendations, etc. (Analytical Studies Team)
______Distribute draft copy of recommendations to all faculty and students (Analytical Studies Team)

—Check List 4—

Now, all copies of all planning materials, department plans and budgets, summaries, projections, and estimates are turned over to the analytical studies team. Members of the team are appointed or elected at the request of the president and report to the planning team. Their primary functions are: (1) to evaluate the economic feasibility of the plans that have been submitted; (2) to determine if program objectives are consistent with college goals and objectives; (3) to determine if the programs fit together properly in pursuit of the common objectives (for example, coincidence of timing); (4) to determine if there are any existing or potential conflicts between program plans and college policies; (5) to develop and consider alternative program plans and examine relative cost and effectiveness in accomplishing objectives; and (6) to formulate conclusions on proposed program modifications and document these conclusions as specific proposals.

The analytical studies team is allowed as much as two months to complete its deliberations, depending on frequency of meetings. Because of the amount of material that must be considered, sessions are likely to be long and intense. A number of institutions using this planning system have consciously rearranged the planning calendar so that the team can convene when classes are not in session. Such an arrangement allows members of the team to devote full attention to their review function. If computer facilities are available to the institution, it is also useful if models can be developed which will permit consideration of a variety of alternatives in staffing, enrollments, expenditures, etc.

The analytical studies team in the course of their review should expect access to all information required to formulate their recommendations, including summary wage and salary data. At the conclusion of their deliberations, a preliminary or draft copy of the team's findings should be circulated to faculty, staff, students, and all other interested parties. A general, open meeting to encourage wider participation, suggestions, or questions may be held to good effect.

Preparation of Final Plan and Budget

The analytical studies team completes their report and forwards it to the planning team, which now must re-

PREPARATION OF FINAL PLAN AND BUDGET

Involves: Planning Team
Planning Assistant
Chief Business Officer
Analytical Studies Team
Trustees
Others (Optional)

Calendar: 3 months (April 1 to July 1)

______Review analytical studies team proposal (Planning Team)
______Resolve differences occasioned by modifications (Planning Team and others)
______Submit final plan for governing board review and approval (Planning Assistant)
______Distribute copies of final plan (Planning Assistant)
______Make adjustments to planning budget to allow final budget preparation (Chief Business Officer with Planning Team)
______Distribute detailed budgets to departments

—Check List 5—

view the proposed modifications in program plans and budgets that have been submitted. If a proposal is unacceptable, it should be returned to the analytical studies team, with reasons for rejection. For those analytical studies team recommendations that are acceptable, notification should go out from the planning team to the academic or support services department heads, announcing modifications that will affect them, with time allowed for appeal or consideration before the acceptance becomes final. If the academic department or support services department heads find the proposed changes unacceptable, they should confer with the planning team and resolve their differences.

Upon acceptance of the report of the analytical studies team, the planning team should make final adjustments to the program plans and present their conclusions to department faculty. The necessary feedback, conferences, and final consideration by the planning team are scheduled to take about two months.

Finally, the planning assistant assembles the official, long-range plan. This document may include extract elements from the program planning summaries, the basic planning assumptions, enrollment projections, and a summary budget projection. A brief explanatory narrative accompanies the document, identifying key modifications to the prior year's plan. The long-range plan is submitted to the governing board for review and approval. If unacceptable, the planning team must make any necessary revisions in the plan as required by the board. After board approval, the long-range plan should be published and disseminated widely to faculty, staff, and students.

PLANNING CYCLE

1978-79

- Education Plan and supporting set of assumptions are formulated
- Individual planning units prepare plans that contain:
  1. Detailed proposals for 1979-80
  2. Less detailed, but yet substantive, proposals for 1980-81 and 1981-82

1979-80

- Individual planning units:
  1. Revise in more detail proposals for 1980-81, which is now the year immediately ahead
  2. Revise the less detailed proposals for 1981-82
  3. Add 1982-83 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year

1980-81

- Individual planning units:
  1. Revise in more detail proposals for 1981-82, which is now the year immediately ahead
  2. Revise the less detailed proposals for 1982-83
  3. Add 1983-84 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year

1981-82

- Individual planning units:
  1. Revise in more detail proposals for 1982-83, which is now the year immediately ahead
  2. Revise the less detailed proposals for 1983-84
  3. Add 1984-85 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year

1982-83

- Education Plan and supporting set of assumptions are revised
- Individual planning units:
  1. Revise in more detail proposals for 1983-84, which is now the year immediately ahead
  2. Revise the less detailed proposals for 1984-85
  3. Add 1985-86 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 42.

ANNUAL PLANNING CALENDAR

Month 1

Information for Planning

Month 2-Month 4

Preparation of Program Plans by Individual Planning Units

Month 5-Month 7

Review and Critique of Individual Program Plans and Preparation of Organization-Unit Program Plans

Month 8-Month 10

Review and Critique of Organizational-Unit Program Plans and Preparation of Institution's Program Plan

Month 11-Month 12

Review and Approval of Institution's Program Plan, Communication of Plan, and Implementation of Planning Decisions

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), Chapter 4.

ANNUAL PLANNING CALENDAR

MONTH 1	MONTH 2 - MONTH 4	MONTH 5 - MONTH 7	MONTH 8 - MONTH 10	MONTH 11 - MONTH 12
Information for Planning	**Preparation of Program Plans by Individual Planning Units**	**Review and Critique of Individual Program Plans and Preparation of Organizational-Unit Program Plan**	**Review and Critique of Organizational-Unit Program Plans and Preparation of Institution's Program Plan by Institution-wide Group**	**Review and Approval of Institution's Program Plan and Implementation of Planning Decisions**
1. Enrollment projections (4-10 years) 2. Faculty-FTE projections (4-10 years) Staff-FTE projections (4-10 years) Cost and revenue projections (1-4 years)	1. Planning unit appoints committee 2. Program plan developed a. Program objectives b. Planned activities c. Resources required 3. Planning Form II 4. Planning Form III	1. Organizational unit appoints committee 2. Review and critique of planning units' program plans 3. Planning Form IV 4. Program plan developed 5. Planning Form V 6. Planning Form VI 7. Report of planning decisions sent to individual planning units	1. Institution-wide group formed 2. Review and critique of organizational units' program plans 3. Institution's program plan developed 4. Report of planning decisions sent to organizational units and to senate, president, and board of control	1. Review of institution's program plan by senate, president, and board of control 2. Approval and adoption of institution's program plan 3. Implementation of planning decisions: • Curricular review • Faculty recruitment • Staff recruitment • Personnel action • Policy action • Budget description • Equipment orders • Renovation orders • Supplies orders

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 43.

Ohio University

University Planning Advisory Council

Planning Schedule for 1978-79

August	- Planning Staff revision of planning process description
September	- Review of Program Objectives and priorities with units
October	- Review of structural issues - UPAC Retreat (3rd week of October)
November	- Review of Actual Fall 1978 enrollment and preliminary enrollment and income forecast for 1978-80, 1980-81 and 1981-82
December	- Preliminary Task Force review of 1978-79 Pool I and II expenditures
January	- Submission of detailed planning information (streamlined)
February	- UPAC review of planning information
March	- Conclusion of planning review with recommendations for: Tuition Compensation Pool I for 1979-80 Pool II for 1979-80
April	- Preliminary Report to President and Board of Trustees
May	- Review of year - Final Task Force reviews and reports of 1978-79 Pool I and Pool II expenditures
June	- 1979-80 Budget to Trustees for action

Ohio University

Summary Schedule for Staff Planning

Stage I - Development of preliminary statements of program objectives and staffing plans

Early May - Distribution of projected enrollment and staffing parameters.

May - June- Each planning unit will begin preparation of draft statements outlining program directions and emphases together with a staffing plan for next six years.

Summer - Periodic work sessions will be held with the Vice Provost for Planning and the appropriate task force from UPAC.

Sept.-Oct.- Units conclude their reports. Following a critique by UPAC, the Vice Provost will prepare a University report to the Provost.

Stage II - Discussions between planning unit administrators and Provost

November-December - Meetings will be held between the Provost and each unit head. Adjustments and refinements to the staffing plans will be made.

Stage III - Utilization of Staff Planning Information

The staff plans will be used by the unit head and the Provost in staffing decisions that occur on a regular basis. The UPAC will use the plans as they consider planning and budget requests. The Board of Trustees will receive briefings on the staff plans and the steps being taken to implement them.

Stage IV - Review and Revision Schedule

The staffing plan developed in 1979 will cover a six year period (1979-85). However, a full review with appropriate revision will occur during the 1980-81 year (tentatively the spring and summer of 1981). The resulting staff plans will cover a new six year period (1981-87).

Ohio University

Timetable for preparation of unit objectives, program emphases and, staffing plans.

May - Distribution of projected enrollment and staffing parameters - Done

June - Initial meetings between the Provost and unit heads (planning officers) to discuss development of program and staffing plans.

July - September - Development by unit heads of tentative program and staffing plans for their unit.

October - Review and revision of tentative report within the unit. Reports concluded and submitted to Vice Provost for Planning.

November-December - Final meetings will be held between the Provost Office and each unit head. Adjustments and refinements to the staffing plans will be made. Review and critique by UPAC is followed by preparation of a University-wide report to the Provost.

Additional samples of planning calendars used to support step 3 (implementation and operation) of the planning process can also be found in *Academic Planning: Four Institutional Case Studies* (Kieft 1978). The following may be particularly useful:

1. West Virginia University
    - Planning activities and schedule, College of Arts and Sciences, 1975-76, p. 12
    - Program evaluation review technique form, pp. 23-24
    - Planning process for 1977-78, p. 35
2. Western Washington University
    - Planning timetable, pp. 69-70
    - Annual rolling planning process, p. 80
3. Villa Maria College
    - Annual rolling process, p. 113
    - Planning timetable, p. 114
4. Kansas City Metropolitan Community College District
    - Planning calendar, p. 129
    - Annual rolling planning process, p. 131

PLANNING FORM II
PROGRAM OBJECTIVES AND PLANNED ACTIVITIES FOR 1979-80 AND 1980-81

Planning Unit: Art Department

Planning Committee's Designated Chairperson: Jane Smith

Program objectives are to be listed in priority order for 1979-80

Year	Priority	Program Objective	Relation to Education Plan	Planned Activity	Additional Resources Required
1979-80	1	Faculty development (additional information on Planning Form III)	Provide opportunities for faculty to remain current in their discipline	3 art-department faculty attend the International Conference on Renaissance Painting (additional information on Planning Form III)	$2,100 travel (additional information on Planning Form III)
1979-80	2	Undergraduate emphasis in art history (additional information on Planning Form III)	• Provide cultural-awareness activity • Provide general-education offering (additional information on Planning Form III)	Two-semester, art-history survey (additional information on Planning Form III)	• 0.50 faculty FTE (art historian) • $2,000 equipment (slides) (additional information on Planning Form III)
1980-81	No priority needed	Expansion of ceramics program	Increase fine-arts opportunities for all students	Increase size of class	• $4,000 equipment (4 kilns) • $1,000 materials
1980-81	No priority needed	Undergraduate art gallery	Increase fine-arts opportunities for all students	Bimonthly displays of student art work	• 30 x 40 room • $3,000 equipment (lighting) • 0.25 faculty FTE (gallery director) • $250 publicity

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 48.

PLANNING FORM III

ADDITIONAL INFORMATION IN SUPPORT OF PROGRAM OBJECTIVES AND PLANNED ACTIVITIES

Planning Unit: Art Department

Planning Committee's Designated Chairperson: Jane Smith

Additional aspects of each program objective listed on Planning Form II should be described, including relationship to institutional goals, criteria for evaluation, time required for implementation, and specific resources and budgets required.

Year	Planned Objective	Planned Activity
1979-80	Faculty development (Priority 1)	Three art-department faculty to attend the International Conference on Renaissance Painting

Past constraints on faculty-development funds have prevented many art-department faculty from improving their teaching and scholarship. This planned objective would exploit a rare opportunity, for the International Conference on Renaissance Painting in November 1979 will not be held in this country again until 1985. Art faculty members Smith, Jones, and Dooley would attend the conference and then conduct a seminar on campus for the rest of the department. Travel and conference expenses of $700 per person are requested to meet a portion of the total $3000 required. Art-department travel funds will provide the additional $900.

Year	Planned Objective	Planned Activity
1979-80	Undergraduate emphasis in art history (Priority 2)	Two-semester, art-history survey

To accomplish the institution's stated goals of increasing the cultural awareness of undergraduates and providing a general-education course in art, a one-year, undergraduate art-history program will be developed. Enrollment of 25 or more students in each course will indicate success. The program will consist of two courses, the first open to any undergraduate except art majors, to be implemented in 1979-80. Implementation requires additional resources beyond previous planning figures: 0.50 FTE for a half-time art historian and $2,000 in equipment funds for purchase of the Groenigen Art-History Slide Series.

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 50.

PLANNING FORM IV
ORGANIZATIONAL-UNIT PROGRAM OBJECTIVES, PLANNED ACTIVITIES, AND RATIONALE

Organizational Unit: College of Fine Arts

Program Planning Committee Chairperson: Dean Jones

Program objectives are to be listed in priority order for 1979-80

Year	**Planning-Unit Priority**	**Organizational-Unit Priority**	**Program Objective**	**Initiation, Maintenance, Improvement, Reduction, or Deletion**	**Relation to Education Plan**	**Relation to Organizational Unit's Goals and Objectives**	**Supporting Information**	**Planned Activity**	**Resources Required**
⋮	⋮	⋮	⋮	⋮	⋮	⋮	⋮	⋮	⋮
1979-80	2 (Art Dept.)	4	Undergraduate emphasis in art history	Initiation	1. Provide cultural-awareness activity 2. Provide general-education offering	1. Meet increased students' demands for art courses 2. Move college into supporting more nonprofessional programs 3. Increase diversity of faculty	Backlog of students desiring general art course	Two-semester, art-history survey	1. 0.50 faculty FTE (art historian) 2. $2,000 equipment (slides)

A one-year undergraduate program in art history will be developed. This objective reflects the institution's stated goals of providing increased cultural awareness for undergraduates and a general-education offering in art. It also reflects the College of Fine Arts goals of being responsive to student demand for art courses, increasing its support of nonprofessional programs, and increasing the diversity of its faculty.

This program objective will be evaluated according to the criterion of student enrollment. Registration requests show a backlog of 300 student requests for general art, which the availability of this sequence will alleviate. Enrollments of 25 or more students in each course will indicate success.

The sequence will consist of two courses, the first open to any undergraduate except art majors. The sequence will be implemented in 1979-80.

Implementation requires additional resources beyond the planning figures. A 0.50 FTE faculty position is needed for a half-time art historian. Also, $2,000 in equipment funds is needed to purchase the Groenigen Art-History Slide Series.

Year	**Planning-Unit Priority**	**Organizational-Unit Priority**	**Program Objective**	**Initiation, Maintenance, Improvement, Reduction, or Deletion**	**Relation to Education Plan**	**Relation to Organizational Unit's Goals and Objectives**	**Supporting Information**	**Planned Activity**	**Resources Required**
1979-80	1 (Math Dept.)	5	⋮	⋮	⋮	⋮	⋮	⋮	⋮

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 53.

Organizational-Unit Program Plan

Planning Form V, which discusses issues important to the organizational unit that cannot be classified as program objectives, should accompany Planning Form IV. One such issue might be the lack of adequate study space on weekends. Since this issue could involve library hours, residence-hall regulations, and access to buildings, it would exceed the jurisdiction of any one planning unit and thus could not be listed on Planning Form IV. Figure 20 illustrates the use of Planning Form V.

FIGURE 20

PLANNING FORM V
ORGANIZATIONAL-UNIT ISSUES

Organizational Unit: College of Fine Arts

Planning-Committee Chairperson: Dean Jones

Issue	**Descriptive Information**
Lack of adequate study space during weekends	Students and faculty have repeatedly complained about the lack of study space during weekends. Because this is a residential campus, adequate study space during weekends is a necessity. To eliminate this problem, policies regarding library hours and residence-hall regulations should be revised.

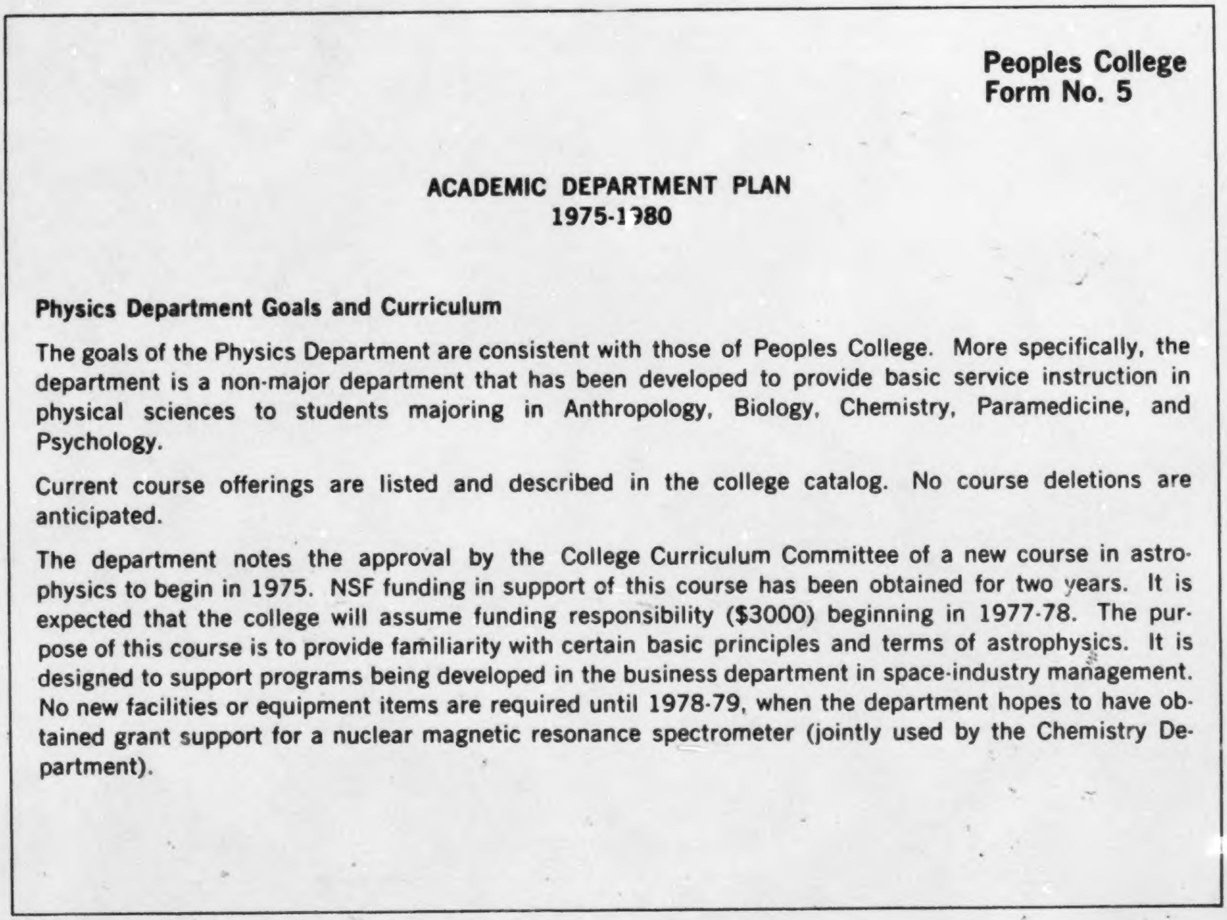
In summary, the organizational unit's program plan consists of:

1. Planning Form IV, with a discussion of each program objective
2. Planning Form V, with a discussion of each issue that cannot be classified as a program objective

MONTH 5 — MONTH 7

Organizational unit's program planning committee reviews and critiques program plans of individual units and formulates organizational unit's program plan, including Planning Forms IV and V

Source: Raymond N. Kieft, Frank Armijo, and Neil S. Bucklew, *A Handbook for Institutional Academic and Program Planning: From Idea to Implementation* (Boulder, Colo.: NCHEMS, 1978), p. 54.



Peoples College
Form No. 5

ACADEMIC DEPARTMENT PLAN
1975-1980

Physics Department Goals and Curriculum

The goals of the Physics Department are consistent with those of Peoples College. More specifically, the department is a non-major department that has been developed to provide basic service instruction in physical sciences to students majoring in Anthropology, Biology, Chemistry, Paramedicine, and Psychology.

Current course offerings are listed and described in the college catalog. No course deletions are anticipated.

The department notes the approval by the College Curriculum Committee of a new course in astrophysics to begin in 1975. NSF funding in support of this course has been obtained for two years. It is expected that the college will assume funding responsibility ($3000) beginning in 1977-78. The purpose of this course is to provide familiarity with certain basic principles and terms of astrophysics. It is designed to support programs being developed in the business department in space-industry management. No new facilities or equipment items are required until 1978-79, when the department hopes to have obtained grant support for a nuclear magnetic resonance spectrometer (jointly used by the Chemistry Department).

The elements of the department plan to be included on Form 5 include:

A statement of the department's goals and objectives
Evidence of how these goals support the college goals
Some reference to the current curricular program of the department (If the college catalog does not adequately describe the courses and their objectives, it may be necessary to list each course, its content and objectives as part of this form.)
Course additions or deletions should be noted and explained
Possible alternative courses may be noted
Significant extracurricular projects and departmental services should be noted

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

Peoples College
Summary Form No. 10

SUMMARY OF PROGRAM CHANGES

	75-76	76-77	77-78	78-79	79-80
French					
Language assistant, to aid in conversational program	$2,000	$2,000	$2,000	$2,000	$2,000
No changes in objectives or program content except conversational program above					
Eliminates one part-time faculty, replaced by LA above	(4,500)	(4,500)	(4,500)	(4,500)	(4,500)
Physics					
Astrophysicist, part-time (grant will cover first two years)	3,000	3,000	3,000	3,150	3,300
Nuclear magnetic resonance spectrometer shared with Chemistry from grant income				20,000	
New courses in astrophysics area will assist Chemistry, Paramedicine, etc.					
One additional faculty office required	X	———————————→			
Partition room SH-207 to provide extra work space	X	———————————→			
Etc.					

The summary of academic program changes should note the magnitude and year of:

- Modification of departmental objectives
- Changes in program content
- New resource requirements
- Variation of interaction with other programs
- Approximate cost of expenditure
- Sources of income

This summary should provide an overview of changes in academic department program plans. In a sense, it is a table of contents whose purpose is to provide essential information to support department chairmen, the planning team, and the analytical studies team.

The expenses noted are also included in the preliminary budget, but are shown here to identify the magnitude of costs or savings of program changes.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

_______________________ COLLEGE

ACADEMIC DEPARTMENT PROGRAM PLAN

DEPARTMENT _______________________ FOR FIVE YEAR PERIOD BEGINNING _______________________

COURSE OR PROJECT* NO.	COURSE OR PROJECT* NAME	BEGINNING YEAR	CONTENT	OBJECTIVES	CHANGE IN RESOURCES REQUIRED (ADDITIONS OR DELETIONS)
	A. CURRENT				
	B. ADDITIONS				
	C. DELETIONS				
	D. SUGGESTED ALTERNATIVES				

*Project is a reference to a research or public service project.

FORM NO 101

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

______________________ COLLEGE

ACADEMIC PROGRAM SUMMARY OF CHANGES

YEAR ______________

DEPARTMENT	DEPARTMENTAL PROGRAM OBJECTIVES	MAJOR CHANGES IN PROGRAM CONTENT	NEW RESOURCE REQUIREMENTS	PLANNED INTERACTIONS WITH OTHER PROGRAMS

NOTE: One of these forms is to be prepared for each year of the planning period.

FORM NO 108

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

____________________ COLLEGE

ACADEMIC PROGRAM
OTHER RESOURCES REQUIREMENTS

For Five Year Period Beginning ____________________

DEPARTMENT ____________________

ITEM	19__-19__		19__-19__		19__-19__		19__-19__		19__-19__	
	No. Units	Cost	No. Units	Cost	No. Units	Cost	No. Units	Cost	No. Units	Cost
A. LIBRARY (Describe units)										
B. COMPUTER (Describe units)										
C. AUDIO-VISUAL (Describe units)										

FORM NO. 107

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

________________________ COLLEGE

SUPPORT PROGRAM PLAN

For Five Year Period Beginning ________________________

DEPARTMENT ________________________

ACTIVITIES	YEAR OF CHANGE	WORKLOAD QUANTITY		OBJECTIVES OF CHANGE	GENERAL DESCRIPTION OF CHANGE IN RESOURCE REQUIREMENTS
		Units	Description		
CONTINUATION (list): • Provide a reasonably detailed list of activities performed by the department. **CHANGES (list):** Express in terms of level of activity (workload), change in standards, etc.					

FORM NO. 113

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

Peoples College
Form No. 19

SUMMARY OF SUPPORT SERVICES PLANS

	Change in Activities	Objectives	New Resources Required
Registrar			
1976-77	Relocate Registrar's Office	a. Improve service to public b. Avoid setting up special registration area c. Release space to Dean of Students Office	Fireproof vault $6,000 (est.) Private office Service desk Key punch area $2,000
Student Union			
1975-76	Create Coffee House Theatre	Provide a place conducive to general entertainment, folk-singers, one-act plays, small classes, films, poetry readings, etc.	Student manager to be in charge, $1,200 (20 hr./wk.) Structural modifications: sound system, furnishings and furniture, $2,500
Vice President for Business			
1976-77	Add Personnel Assistant	Improve salary and wage administration, pre-employment interviewing, performance appraisals, on-the-job training, etc.	$12,000

This form provides an overview of program changes in the support services category and serves as a table of contents for the detailed changes recorded in the individual program plans.

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix A.

______________________________ COLLEGE

SUPPORT SERVICES PLAN-SUMMARY OF CHANGES

SUPPORT SERVICE	CHANGES IN ACTIVITIES	OBJECTIVES OF CHANGE	NEW RESOURCE REQUIREMENTS	PLANNED INTERACTION WITH OTHER PROGRAMS
A. ACADEMIC SUPPORT				
B. STUDENT SERVICES				
C. INSTITUTIONAL SUPPORT				
D. O & M of PLANT				

NOTE: One of these forms is to be prepared for each year of the planning year.

FORM NO. 117

Source: National Association of College and University Business Officers [NACUBO], *A College Planning Cycle: People Resources Process, A Practical Guide* (Washington, D.C.: NACUBO, 1975), Appendix B.

Ohio University

Ohio University was one of three institutions whose experiences in implementing a planning process are documented in *Implementing a Planning Process: Three Case Studies.* The following materials have been excerpted from that document:

1. Instructions for completing planning form 1: program-planning-unit objectives
2. Guidelines for developing planning-unit objectives
3. Guidelines for submitting planning proposals and criteria for proposal evaluation
4. Instructions to planning units and format for preparation of staffing plan reports

Ohio University

Instructions for Completing

Planning Form 1

PROGRAM PLANNING UNIT OBJECTIVES

1. Each planning unit will prepare objectives designed to implement goals and directions of the University as described in the Educational Plan. General guidelines for their preparation are included in Appendix IV of the planning process description published by the Office of the Provost.

2. Objectives are to be listed concisely according to priority. They should normally be completed or well begun during the three year planning cycle and some clear indication as to timing of activity during the planning period provided. While terse, every effort should be made to make these objectives cogent and persuasive.

GUIDELINES FOR DEVELOPMENT OF PLANNING UNIT OBJECTIVES

While one dictionary refers to a goal as "the result or achievement toward which effort is directed; aim; end," for the purposes of planning we will describe "goal" as a positive statement about desired end results.

Goals then are something that you strive to attain. They are in fact a directing force toward which every evolving institution should work and they then become a basis for planning and decision-making.

It therefore behooves every major institution to continually review its general program in relation to its goals. Such an analysis should guide each department in setting priorities that will match those in an overall University plan.

A program objective then becomes a desired result. It should then be clear, measurable, and capable of being completed within a reasonable period of time.

Its characteristics are:

- it should relate to an overall University goal
- it should be measurable
- it should specify method of measurement and criteria for evaluation of end result
- it should state the amount of time needed for implementation
- it should state resources that are needed

In summary, objectives are the specific means by which each planning unit may respond to new directions or improvements in current programs.

The Office of the Provost is preparing additional materials to provide guidance to planning units as they develop statements of objectives. This material will be reviewed with the planning officers in the near future.

While planning units need not prepare new program objectives each year for review and evaluation of UPAC, annual updates are encouraged to reflect changes in program emphasis. The statement of program objectives on file in the Provost's Office will provide the framework for planning proposal review.

OHIO UNIVERSITY
GUIDELINES FOR SUBMISSION
OF PLANNING PROPOSALS
AND
CRITERIA FOR PROPOSAL EVALUATION

Format for Pool I, Pool II or Extraordinary Inflation Proposals

1. Brief statement of major program objectives and the relation of proposal to those objectives (3 to 4 sentences).

2. Brief description of the need or proposed activity and an estimate of the costs (5 to 10 sentences).

3. Description of how the proposal has been integrated into the long range plans of the unit and the extent to which the unit is willing to commit, if possible, its own resources to support the activity/project (5 to 10 sentences).

4. Benefits or improvements expected to accrue to the program/unit/University if the proposal is funded (3 to 4 sentences).

5. How benefits can be evaluated - a statement of the qualitative or quantitative measure which will be used to evaluate the degree to which the expected benefits were obtained (2 to 3 sentences).

6. If two or more proposals are submitted by a unit, the proposals must be presented in rank order. It is expected that approximately 30% of the total funds will be available for Pool I, 60% for Pool II and 10% for Extraordinary Inflation. Planning units are expected to indicate whether the primary focus of a particular proposal is for Pool I, Pool II or Extraordinary Inflation. The total amount requested by each planning unit cannot exceed 3% of its budget base.

7. In addition to submission of Pool I, Pool II and Extraordinary Inflation proposals, units are also encouraged to submit a brief outline of significant program changes which are planned through use of existing resources.

Criteria for Evaluation of Pool I and Extraordinary Inflation Proposals

1. For Pool I and Extraordinary Inflation proposals, there must be a clear demonstration that efforts have been made to solve the problem and that solution is beyond the financial capability of the units. Proposals which include commitments for partial solution through re-allocation of existing resources are encouraged.

2. It must be demonstrated that funding of the proposal will result in long range positive benefits to Ohio University.

3. There must be a clear demonstration that funding of the proposal will achieve at least one of the following:

   A. Maintenance of Ohio University's ability to recruit or retain high quality graduate and undergraduate students.

   B. Maintenance of the quality of scholarship, education and/or life at Ohio University.

   C. Maintenance of income, or reduction of costs at Ohio University.

Criteria for Evaluation of Pool II Proposals

All proposals are expected to demonstrate that, if funded, they would meet at least one of the following three criteria:

1. Improve Ohio University's ability to recruit and/or retain high quality graduate and undergraduate students.
2. Increase the quality of scholarship, education and/or life at Ohio University.
3. Increase income or reduce costs at the University.

To the extent possible, proposals should also:

1. Demonstrate the long range positive effects which will result. e.g. How will the funding of a particular proposal continue to benefit Ohio University 8 to 10 years from now.
2. Demonstrate how existing resources will be better utilized or put to new uses. Proposals should also include, where possible, plans for re-direction of the human resources of the University. e.g. Faculty and staff development by assignment to permit individuals preparation time to teach other courses or work in other areas.
3. Include a discussion of the degree to which resources within the unit will be used to supplement the funds requested. Proposals which include commitments for reallocation of existing resources are encouraged.
4. Demonstrate, to the extent possible, how increased cooperation among departments and/or the various planning units will result if the proposal is funded.

1979-80 Planning Form
for
Pool I, Pool II & Extraordinary Inflation Requests

Program Planning Unit: ______________________________

Planning Officer: ______________________________

Application made for:
_____ Pool I funds
_____ Pool II funds
_____ Extraordinary Inflation funds

Priority ranking: __________

Dollars requested
in this proposal: __________

Proposal

Feedback
Report of UPAC Decisions

Planning Unit: ____________________

Proposal Title: ____________________

Amount of Request: ____________________

UPAC Recommendation: ____________________

Perceived Strengths of Proposal:

Perceived Weaknesses of Proposal:

General Comments (if needed):

Summary of Program Changes

Each planning unit is to describe in brief narrative form each of the significant changes instituted by the unit (from 1977-78 base program to 1978-79 planning parameter program). Each change should be described in terms of how it contributes to the objectives of the planning unit.

Pool I

Criteria Rating Forms

Unit:

Proposal # Title:

1. Extent to which unit has attempted to solve the problem.

minimal	considerable

2. Long range positive benefits to Ohio University.

minimal	considerable

3. Impact on recruitment or retention.

minimal	considerable

4. Impact on quality of scholarship, education or life.

minimal	considerable

5. Impact on income/costs.

no increased income/ no cost reduction	increased income/ reduced cost

Comments:

Pool II

Criteria Rating Forms

Unit: ______________________

Proposal # ____________ Title: ____________________

1. Impact on recruitment or retention.

minimal
considerable

2. Impact on quality of scholarship, education or life.

minimal
considerable

3. Impact on income/costs.

no increased income
no cost reduction
increased income
reduced cost

4. Long range positive benefits.

very low
very high

5. Utilization and redirection of existing resources.

minimal
considerable

6. Reallocation or redirection of existing resources.

minimal
considerable

7. Interdisciplinary cooperation.

minimal
considerable

Comments: ______________________

Pool I and Pool II

Task Force Evaluation Report
1978-79 Allocations
(to be completed by the Planning Unit)

Planning Unit:____________________________________

Type of Award: Pool I ____ Pool II ____

Amount of Award: $____________ Amount Requested: $____________

Objectives of the Proposal:

Outline of actual expenditures of the above award:

Extent to which unit's resources were used to supplement the above expenditures:

To be completed by Task Force and UPAC

Evaluation as to degree unit objectives were met:

OHIO UNIVERSITY

INSTRUCTIONS TO PLANNING UNITS
AND
FORMAT FOR PREPARATION OF
STAFFING PLAN REPORTS

Guidelines for Preparation of Initial Program and Staffing Plans

1. Development of the initial statements of program emphases and related staffing plans for the next three biennium are the responsibility of the head of the planning unit. These initial statements must be within the staffing projections provided to the unit.

2. It is recommended that an advisory committee be appointed by the unit head to assist in development of the initial statements. It is expected that unit heads will solicit and review information from departments and other major program areas. Interaction and discussion between the unit head and the advisory committee and UPAC task force members also is encouraged.

3. The statements of program emphases and staffing plans should be kept as brief and concise as possible.

4. Unit-wide reaction to these initial statements of objectives, program emphases and staffing plan(s) will be solicited during October. Necessary revisions will be made followed by submission of the statements to the Vice Provost for Planning.

   Meetings will be held with the Provost to discuss the plans submitted. Following these meetings, the unit statements will be reviewed and critiqued by UPAC. A final University report will then be prepared by the Vice Provost for Planning for submission to the Provost.

Instructions for Preparation of Program and Staffing Plans

Program Emphases - General Instructions:

The descriptions of program emphases should be brief, to the point and suggest the actions or directions to be taken by the unit during the next three biennia. The broad, general statements of goals already are incorporated in the Educational Plan adopted in 1977, and, the statements of unit goals and objectives prepared during 1977-78 and updated during 1978-79. To the extent possible, major program emphases must:

1. Improve Ohio University's ability to recruit and retain high quality graduate and undergraduate students.
2. Increase the quality of scholarship, education or campus life.
3. Increase income or reduce costs at the University.
4. Increase cooperation and utilization of resources both within and between the various planning units.

Program Emphases - Specific Instructions:

These descriptions should outline the major directions or areas of emphasis planned by the unit during the next three biennia. They should be stated as briefly and concisely as possible, and should include the following:

A. A brief description of the major program emphases or direction(s) to be taken by the unit during the next three biennia.

B. A description of plans for program enhancement, reductions, changes, or reallocation of resources within the unit so that the major program emphases can be achieved.

C. A description of special needs associated with the program thrusts.

The attached forms or ones similar to them might be useful in preparation of program and staffing plans.

Staffing Plan:

Staffing as related to achievement of program emphases must be described within the constraints imposed by the staffing guidelines. (Program emphases and directions which require more staff should be included as part of the Supplemental Plan by the unit.) Upon completion of the descriptions of objectives and program directions, outline the staffing changes anticipated during the next three biennia. Many of the changes will, of course depend upon available vacancies and will be discussed in the regular yearly meetings with the Provost.

To develop the general staffing plan, assume the staffing projections for your unit and, consistent with the program emphases outlined above, indicate your best estimate of the departments, areas or programs where:

A. Vacancies will be filled and, if possible, staff or faculty added.

B. Vacancies may be filled, but only under special circumstances.

C. Replacements probably will not be made.

As part of the general staffing plan, also indicate in priority order the anticipated utilization of resources saved through staff reductions.

Supplemental Plan:

The Supplemental Plan should follow the procedure and general format outlined above for describing program emphases and staffing plans. Special attention should be given to outlining:

A. Specific steps or programs which will demonstrably benefit the unit and the institution.

B. Specific staffing needs associated with "A" that are in excess of the staffing projections provided for the unit.

Program Scope and Emphases
(1979-80 - 1984-85)

Planning Unit: ____________________

1. Brief description of planned program emhases:

2. Plans for enhancement, reductions, changes or reallocation of resources:

3. Special needs associated with program plans:

Summary Staffing Plan

Planning Unit: ____

Major Program Changes Including:

1. Programs/departments where replacement will occur, and if possible, faculty or staff added:

Program/Dept	1979-80	1980-81	1981-82	1982-83	1983-84	1984-85

2. Programs/departments where vacancies may be filled:

Program/Dept	1979-80	1980-81	1981-82	1982-83	1983-84	1984-85

3. Areas where replacements probably will not be made:

Program/Dept	1979-80	1980-81	1981-82	1982-83	1983-84	1984-85

4. Anticipated utilization of portions of resources saved (e.g. increased 300-900, student support, etc.).

Supplemental Plan(s)

Planning Unit:______________________________

1. Brief description of proposed program:

2. Demonstrable benefits to the University:

3. Resources the unit will commit toward accomplishment of proposed program:

4. Additional resources needed (including staff) to accomplish the proposed program emphasis:

OUTLINE OF PROGRAM AND STAFFING PLAN REPORT

FROM EACH PLANNING UNIT

1. A brief description of anticipated trends and changes in the major program areas of your unit is required. This description should be brief and focus on the major changes, reductions, or additions to programs.

2. A description of the unit staffing plan for the next three biennia (1979-80 - 1984-85) is required. It is expected that this description will incorporate known or likely attrition and provide an estimate of staffing priority and changes by major category (faculty, administrative, civil service).

3. A supplemental description of program and staffing needs may be submitted if the unit is confident that the projected staffing for their unit does not accurately reflect anticipated trends and needs.

Additional samples of materials to support step 3 (implementation and operation) of the planning process can also be found in the document *Academic Planning: Four Institutional Case Studies* (Kieft, 1978). The user of this document may want to refer to the following:

- West Virginia University
  - Revision to Current Programs for 1977-78, pp. 25-28
  - New Program Request for 1977-78, pp. 29-32
  - Annual Report of the University Council on Planning to the West Virginia University Senate, 1975-76, pp. 59-63
- Western Washington University
  - Preparation of Unit Plans, pp. 82-99
- Villa Maria College
  - The Planning Issue Form, pp. 115-116
  - Action Plan Form, pp. 117-118
  - Updated Action Plan Form, pp. 119-120
- Kansas City Metropolitan Community College District
  - New Educational Program Request, pp. 132-133

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